Office of the Chief Master Sergeant of the Air Force
1670 Air Force Pentagon
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Our Air Force has gone through numerous changes during the past decade. We have significantly downsized after the cold war, transitioned to an Expeditionary Aerospace Force (EAF), and squarely faced such challenges as OPTEMPO, recruiting, and retention. Through all of the turmoil of change, we have maintained the world's most respected Air Force--largely because of the remarkable men and women on our team. During this same period you have progressed through the ranks to become a senior noncommissioned officer and have continued to grow both personally and professionally.

Although the next decade will include new challenges and opportunities, our Air Force has a bright future. The EAF concept will provide greater predictability and stability our people deserve while also increasing our overall capability. Our core values, "Integrity First, Service Before Self, and Excellence in All We Do" will continue to serve as a strong foundation for all our activities. And, sustaining an "Air Force" identity will foster teamwork and unity among members of our total force.

Your role as a senior enlisted leader is vital to our future since your actions will shape the next generation of noncommissioned officers. You must continue to lead by example, set reasonably high expectations, and help foster an "expeditionary" mindset. Remember, you are the key to training, retaining, and mentoring the professionals who will follow in your footsteps.

This study guide is designed to provide you additional insights to help you meet the increased responsibilities inherent with promotion. As you prepare to test, I wish you continued success and thank you for serving in America's Air Force.

Frederick J. Finch
FREDERICK J. FINCH
Chief Master Sergeant of the Air Force

BY ORDER OF THE
SECRETARY OF THE AIR FORCE

AF PAMPHLET 36-2241, VOLUME 2

1 JULY 2001

Personnel

★*USAF SUPERVISORY EXAMINATION (USAFSE) STUDY GUIDE*

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This pamphlet implements AFI 36-2201, *Developing, Managing, and Conducting Training*, Chapter 14. (The Military Knowledge and Testing System [MKTS] no longer applies to PFE or USAFSE [test] development and has no bearing on the level of comprehension required for promotion test preparation. This change is covered in greater detail in the introduction section which follows the table of contents.) **The first testing cycle affected by this edition is the E-9 testing cycle in September 2001.** Information in this study guide is taken primarily from Air Force publications and is based on knowledge requirements from the MKTS. **This study guide is current as of 31 December 2000. (*NOTE:* If an Air Force publication changes any information referenced in this study guide, the governing publication takes precedence.)** Attachment 1 contains a glossary of references and supporting information to assist you while you read and study the material.

The USAFSE Study Guide (Volume 2) and Promotion Fitness Examination (PFE) Study Guide (Volume 1) are the only study references required for the USAFSE. Both study guides provide the information needed by senior noncommissioned officers (SNCO) when preparing for the USAFSE. Recommendations to change, add, or delete information in AFI 36-2201 (Chapter 14) or this pamphlet should be sent to the Air Force Occupational Measurement Squadron (AFOMS/OMP), 1550 5th Street East, Randolph AFB TX 78150-4449, DSN 487-4075, or e-mail: pfesg@randolph.af.mil. ***NOTE:*** Do not use AF Form 1000, **IDEA Application.**

Maintain and dispose of records created as a result of prescribed processes in accordance with AFMAN 37-139, *Records Disposition Schedule* (will become AFMAN 33-322, Volume 4).

SUMMARY OF REVISIONS

This document is substantially revised and must be completely reviewed.

Page

READ THIS FIRST!

INTRODUCTION

This study guide, along with AFPAM 36-2241, Volume 1, *PFE Study Guide*, is to be used to study for the USAFSE. This volume covers subjects carefully selected by the most senior members of the enlisted force. Its content is required knowledge for any senior NCO who wishes to become a fully effective leader and manager.

Some information in this volume is brand new; other has been rewritten in response to the rapid changes in our Air Force. An important change you will notice is that the chapters in this volume, to a certain extent, coincide with those in Volume 1. There are two new chapters; Chapter 2, The Joint Force, and Chapter 4, Leadership and Management. The SNCO Promotion Program is now Chapter 3; Chapter 6, Professionalism, has been reworked; and the Planning, Programming, and Budgeting System (PPBS) and manpower management are now included in Chapter 8, Senior NCO Resource Management. Lastly, as in any publication revision, there are minor changes and modifications throughout.

In addition to direction from the Military Knowledge and Testing System (MKTS) Advisory Council, the changes incorporated are as a result of feedback received from the field identifying ways to improve the format, readability, and adequacy of the subject matter. We take seriously all suggestions to improve this study guide. Our objective is to provide enlisted personnel a reference that is easy to understand, yet provides ample coverage of those subjects considered appropriate.

THE MILITARY KNOWLEDGE LIST (MKL)

The MKTS has been changed to the MKL. This list identifies a level of understanding required for all subject areas that NCOs should possess at each grade from SSgt throught CMSgt and is not necessarily used to determine knowledge (emphasis) requirements for testing. For further information on the MKL, see the introduction in AFPAM 36-2241, Volume 1.

AIR FORCE TEST COMPROMISE POLICY

WARNING!!! **Because the USAFSE counts for up to 100 points of your total SNCO Promotion Program score, it is important that you establish a *SELF-STUDY* program to help you score well. Self-study is highlighted to emphasize that group study (two or more people) and training programs specifically designed to prepare for promotion tests are strictly prohibited by AFI 36-2605, *Air Force Military Personnel Testing System*.** This prohibition protects the integrity of the NCO Promotion Program by helping to ensure USAFSE scores are a reflection of each member's individual effort.

In addition to group study, specific compromise situations you must avoid include, but are not limited to: (1) discussing the contents of a USAFSE with anyone other than the test control officer or test examiner; and (2) sharing: pretests or lists of test questions recalled from a current or previous USAFSE, personal study materials, underlined or highlighted study reference material, or commercial study guides with other individuals.

Air Force members who violate these prohibitions are subject to prosecution under Article 92 (1) of the Uniform Code of Military Justice (UCMJ) for violating a lawful general regulation. Refer to Chapter 14 of AFPAM 36-2241, Volume 1, for more information regarding test compromise.

The SNCO Promotion Program, like the Weighted Airman Promotion System, was developed as an objective method of promoting the most deserving airmen to the next higher grade. Any time a promotion examination is compromised, there's a possibility that one or more undeserving airmen will be promoted at the expense of those who followed the rules. **Do not place your career in jeopardy. Study, take your promotion examination, and earn your next stripe—on your own!**

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Chapter 1

AIR FORCE DOCTRINE

Section 1A—Overview

To provide the nation's air and space force with a common, integrated vision, Air Force doctrine must draw together the lessons of our history, our best practices, and our insights about the future. The lessons of air and space power history are replete with examples of the dedication and sacrifice of those who have served their nation through our proud history as the Army Air Service, the Army Air Corps, and, finally, the United States Air Force. These lessons survive today and are reflected in the principles of war and our own tenets of air and space power. As our experience in air and space warfare has evolved, however, these historic principles must now be viewed in light of modern air and space power capabilities. Accordingly, we have developed core competencies to provide insight into the specific capabilities that the United States Air Force must bring to activities across the range of military operations.

Together, the principles, tenets, and core competencies describe air and space power as a force distinct from surface forces and the air arms of other Services. The United States Air Force, through operations in the air, space, and information environments, is a global strategic power that can protect national interests and achieve national objectives by rapidly projecting potent air, space, or joint force land power anywhere on earth.

This basic doctrine presents the guiding principles of our Service as well as our view of the opportunities of the future. It will serve us well in coping with the hazards of war as well as the challenges of keeping the peace. I commend it to all of you—active duty, reserves, and civilians alike. These war-fighting concepts describe the essence of air and space power and provide the airman's perspective. As airmen, we must understand these ideas, we must cultivate them, and, importantly, we must debate and refine these ideas for the future.

MICHAEL E. RYAN
Chief of Staff, USAF

1.1. Introduction. AFDD 1, *Air Force Basic Doctrine*, governs the application of aerospace forces in operations across the full range from global nuclear or conventional warfare to military operations other than war (MOOTW). AFDD 1 is the premier statement of US Air Force basic doctrine and, as such, should form the basis from which air commanders plan and execute their assigned aerospace missions and act as a component of a joint or multinational force. The content is official, but not directive. This chapter provides information on doctrine, strategy, and war and continues with the airman's perspective on the principles of war and the tenets of aerospace power. Finally, aerospace power functions and Air Force key organizing concepts are outlined. This information provides a "big picture" perspective and a better understanding of how missions assigned by the national command authorities (NCA) are accomplished.

Section 1B—Doctrine, Strategy, and War

1.2. Doctrine:

1.2.1. Definition, Purpose, and Origin. Doctrine is a collection of accepted truths gained primarily from the study and analysis of experiences from actual combat or contingency operations as well as equipment tests or exercises. In instances in which experience is lacking or difficult to acquire (theater nuclear operations), doctrine may be developed through analysis of theory and hypothetical actions. It describes the best way to organize, train, equip, and sustain forces.

1.2.2. Doctrine Use. The Air Force teaches and promotes doctrine as a common reference for all personnel. Doctrine prepares us for future uncertainties and, combined with the basic shared core values, provides common understanding on which decisions can be made. Doctrine reflects what has usually worked best. In application, doctrine must be treated with judgment, but must never be dismissed out of hand or through ignorance. It must be emphasized that doctrine constantly evolves as new experiences and advances in technology point the way to the future force, and innovation plays a key part in sound doctrinal development.

1.2.3. Aerospace Doctrine Levels. Three levels of aerospace doctrine roughly correspond to the different levels of war (strategic, operational, and tactical). These

three levels are basic, operational, and tactical doctrine.

1.2.3.1. Basic Doctrine. This doctrine states the most fundamental and enduring beliefs that describe and guide the proper use of aerospace forces in military action. It describes aerospace power "elemental properties" and provides the airman's perspective. Because of its fundamental and enduring character, basic doctrine provides broad and continuing guidance on how Air Force forces are organized and employed. As the foundation of all aerospace doctrine, basic doctrine also sets the tone and vision for future doctrine development.

1.2.3.2. Operational Doctrine. This doctrine builds on basic doctrine principles, but describes a more detailed force organization. Operational doctrine guides aerospace force employment in the context of distinct objectives, force capabilities, broad functional areas, and operational environments.

1.2.3.3. Tactical Doctrine. This doctrine describes the proper employment of specific weapon systems, individually or in concert with other weapon systems, to accomplish detailed objectives. Basic and operational doctrines lead to the development of tactical doctrine's missions and tasks. Tactical doctrine considers particular objectives (for example, blockading a harbor with aerial mines) and conditions (for example, threats, weather, and terrain), and then it describes how weapons systems are employed to accomplish the objective (for example, B1s laying mines at low altitude).

1.2.4. Types of Aerospace Doctrine. In addition to levels, there are three types of doctrine; service, joint, and multinational. Service doctrine, such as Air Force doctrine and Air Force tactics, techniques, and procedures outlines Air Force competencies and guides the application of aerospace forces. Other branches of the US military have their own established doctrine. Joint doctrine integrates aerospace doctrine for joint operations and describes the best way to integrate and employ aerospace forces with land and naval forces in military action. Combined (multinational) doctrine applies aerospace doctrine to joint multinational operations and describes the best way to integrate and employ aerospace forces with the forces of our allies in coalition warfare. It states principles, organization, and fundamental procedures agreed upon by or among allied forces.

1.2.5. Doctrine and Strategy. Doctrine describes how an operation should be planned to accomplish military goals; strategy defines what the successful accomplishment of a series of operations will attain.

1.3. Strategy:

1.3.1. Origins and Use. Strategy differs fundamentally from doctrine even though each is necessary for employing military forces. Strategy originates in policy and addresses broad objectives and plans for achieving them. Doctrine evolves from military theory and experience and addresses how best to use military power. But in practice, when leaders develop our national security strategy or plans for particular contingencies, political, economic, or social realities may dictate strategic and operational approaches that depart from accepted doctrine. When this happens, military commanders should outline the possible military consequences for political leaders. However, because war is an instrument of policy, commanders must ensure policy ultimately governs military power and be prepared to adapt operations accordingly.

1.3.2. National Security Strategy. The end of the Cold War transformed the US national security. The United States entered the 21st century with unprecedented prosperity and opportunities threatened by complex dangers. Problems associated with fostering a stable global system requires the US military to play an essential role in building coalitions and shaping the international environment in ways that protect and promote US interests. The *National Security Strategy for a New Century* stresses "the imperative of engagement" through integrated approaches that (1) shape the international environment, (2) respond to the full spectrum of crises, and (3) prepare today for an uncertain future. This strategy depends not only on maintaining a strong defense, but also on ensuring America's military forces are ready to deter, fight, and win wars. A key assumption is that the same forces will increasingly be called upon in peaceful military-to-military contacts, humanitarian intervention, peace support, and other nontraditional roles.

1.3.3. National Military Strategy. National military strategy describes the objectives, concepts, tasks, and capabilities necessary to implement the goals set for the military in the national security strategy. National military strategy evolves as the international environment, national strategy, and national military objectives change. This strategy lays the basis for applying military instruments at the strategic and operational levels of war. It requires responsive military forces to rapidly and decisively cope with diverse situations including nuclear and conventional threats; regional instability; proliferation of weapons of mass destruction; threats to unilateral peace-support operations; drug trafficking; terrorism; regional wars; and natural disasters. To execute flexible and selective engagement, military forces must not only be trained, organized, and equipped to fight, but they must also be ready to engage across the spectrum of peace, crisis, and conflict as part of any joint, combined, United Nations, or interagency force.

1.4. War:

1.4.1. Objective, Purpose, and Types. The overriding objective of any military force is to be prepared to conduct combat operations in support of national political objectives—to conduct the nation's wars. War is a struggle between rival political groups or nation-states to attain competing political objectives. War does not have to be officially declared for armed forces to be thrust into wartime conditions or engage in combat operations. In fact, the vast majority of military operations is not conducted under the banner of a declared war or even preplanned combat operations. Once political leaders resort to the use of force, or possibly even the threat of force, they may place their forces "at war," at least from the perspective of those engaged. War is a multidimensional activity which can be categorized in the following ways: by intensity (low to high); by duration (short or protracted); by means employed (conventional, unconventional, nuclear); or by the objectives or resources at stake (general or limited war).

1.4.2. Fundamental Nature of War. War's political nature, physical stress, and agony of combat will outlive any desire to make it bloodless and violence free despite a revolution in military affairs caused by technology. The means may change, but the fundamental nature and risks of war will remain. The following enduring truths describe war's fundamental nature:

1.4.2.1. War is an Instrument of National Policy. Victory is not measured by casualties inflicted, battles won or lost, or territory occupied, but by the achievement or failure to achieve political objectives. More than any other factor, political objectives (one's own and those of the enemy) shape war's scope and intensity. Military objectives and operations must support political objectives and be aligned with nonmilitary instruments of power.

1.4.2.2. War is a Complex and Chaotic Human Endeavor. Human frailties and irrationality shape war's nature. Uncertainty and unpredictability—what many call the "fog" of war—combine with danger, physical stress, and human fallibility to produce "friction." Friction is a phenomenon that makes apparently simple operations unexpectedly, and sometimes even insurmountably, difficult. Uncertainty, unpredictability, and unreliability are always present, but sound doctrine, leadership, organization, core personal values, technologies, and training can lessen their effects.

1.4.2.3. War is a Clash of Opposing Wills. War is not waged against an inanimate or static object, but a living, calculating enemy. Victory results from creating advantages against thinking adversaries bent on creating their own advantages. This produces a dynamic interplay of action and reaction in which the enemy often acts or reacts unexpectedly. While physical factors are crucial in war, national and leadership's wills are also critical components. The will to prosecute and the will to resist can be decisive elements.

1.4.3. Aerospace Power in War:

1.4.3.1. Warfare is normally associated with the different mediums of air, land, sea, and space. In addition, information is now considered another medium in which some aspects of warfare can be conducted. The US Air Force conducts air, space, and information warfare to support the objectives of joint force commanders (JFC). Military actions can be applied to complement any combination of the other instruments of national or international power.

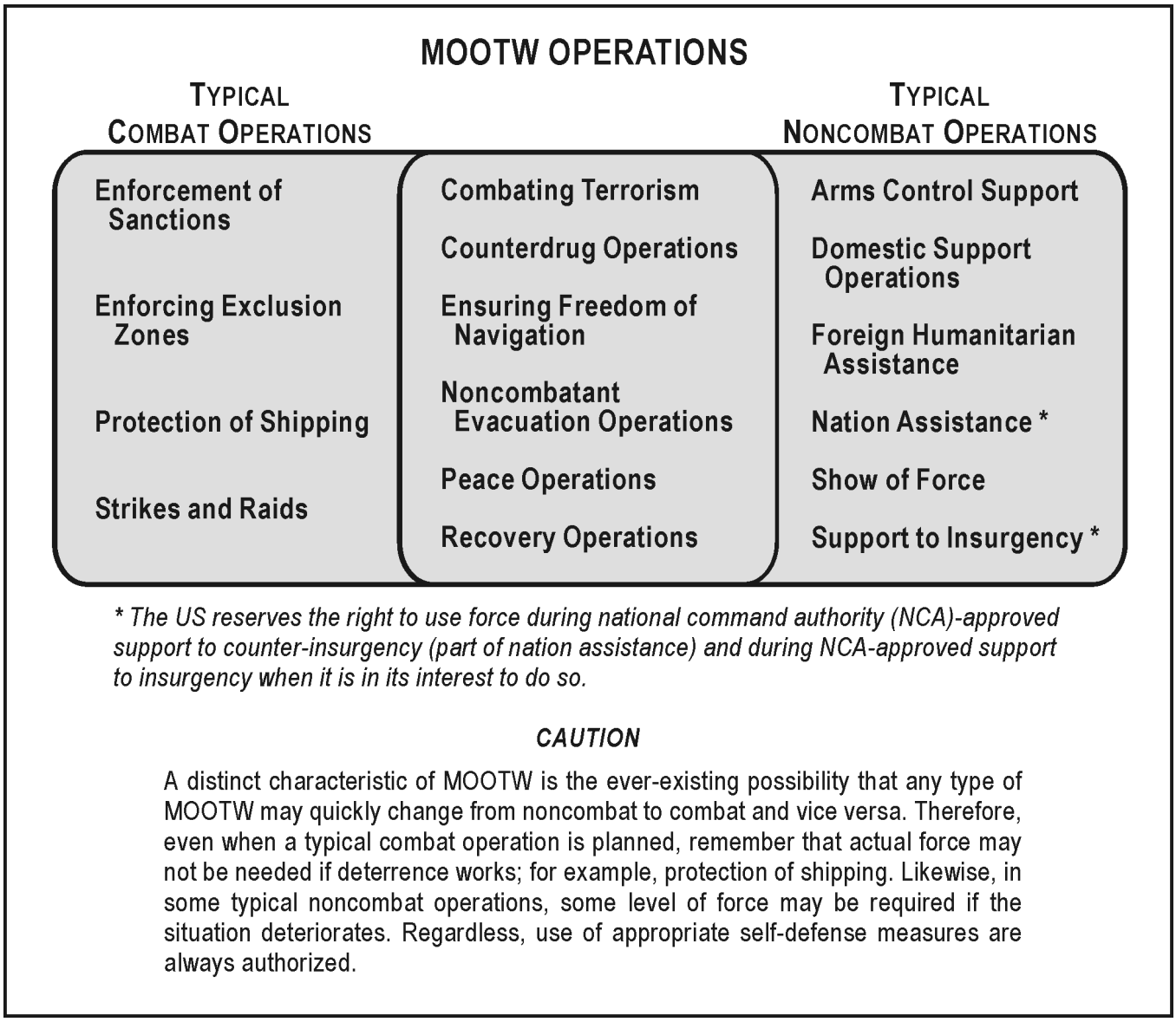
1.4.3.2. To leverage effectiveness, it is particularly important that actions be integrated, mutually reinforcing, and clearly focused on compatible objectives throughout the engaged force, whether US, allied, military, civilian, or nongovernmental organizations. In addition, aerospace forces accomplish a wide variety of traditional and information-related functions; for example, intelligence, surveillance, and reconnaissance (ISR), weather services, and public affairs operations. These functions can be conducted independently from land and sea operations and can complement, support, or be supported by land and sea operations.

1.4.4. Aerospace Power in Military Operations Other Than War (MOOTW):

1.4.4.1. MOOTW are military actions not associated with sustained, large-scale combat operations. The challenges faced by armed forces today can no longer be described as a single threat (for example, the Soviet Union), but must now be viewed as the multiple risks of economic and political transitions, repressive regimes, spread of weapons of mass destruction, and proliferation of cutting-edge military technology. Other risks included are violent extremists, militant nationalism, ethnic and religious conflict, refugee overflows, narcotics trafficking, environmental degradation, rapid population growth, and terrorism. The military instrument of national power, either unilaterally or in combination with the economic and diplomatic instruments, may be called upon to meet these challenges.

1.4.4.2. The overall goal of MOOTW is to pursue US national policy initiatives and to counter potential threats to US national security interests. MOOTW may deter war, resolve conflict, relieve suffering, promote peace, or support civil authorities. Application of global strategic aerospace forces can still be appropriate and effective.

Figure 1.1. MOOTW Operations.



1.4.4.3. MOOTW may be typical combat or typical noncombat or it may fall within the perimeters of operations that may be either combat or noncombat (Figure 1.1). Even though there are many types of MOOTW not involving combat, airmen must understand that violence (and casualties) may occur in virtually any type and, therefore must be ready and able at all times to defend themselves and their units.

1.4.4.4. Air, space, and information functions are adaptable to MOOTW, and certain assets may be applied to attain operational-, strategic-, or tactical-level effects against limited objectives as effectively as those mounted against more traditional wartime targets. Aerospace forces can be a supported force providing rapid, focused global mobility; airlift or special operations in a foreign humanitarian-assistance operation or limited raid; counterair to enforce an air exclusion zone; or information operations to determine treaty compliance. Aerospace forces can enhance other forces with information operations that shape and influence the situation by providing the eyes and ears of a sophisticated command and control system—air- and space-based ISR. Aerospace forces can also be a supporting force isolating operations from air or ground interference; that is, close air support, some interdiction, and some suppression of enemy air defenses.

Section 1C—The Airman's Perspective

1.5. Overview:

1.5.1. Many aerial warfare aspects and lessons can be gleaned from its relatively short history. Two-dimensional surface warfare concepts and doctrine still dominate military thinking. If aerospace power is to reach its full potential, airmen must reexamine all aspects of warfare from a multidimensional aerospace perspective (time, vector, velocity, and elevation).

1.5.2. Implemented through core competencies, the principles of war and tenets of airpower guide aerospace power employment. Airmen must understand these fundamental beliefs as they apply to aerospace power. Sections 1D through 1G present the principles of war, tenets of aerospace power, aerospace power functions, and key organizing concepts and a vision for the future.

Section 1D—Principles of War

1.6. Overview:

1.6.1. Throughout history, military leaders have noted certain principles that tended to produce military victory. From ancient China to today, certain truths of warfare have emerged. Known as the principles of war, they are "those aspects of warfare that are universally true and relevant." Because the history of heavier-than-air flight extends back only to the beginning of the 20th century, it is not surprising that traditional, two-dimensional surface warfare concepts dominate. Aerospace forces, no matter which Service or platform type, provide unique capabilities in a third dimension. While the principles apply equally to all armed forces, as members of a joint team, airmen should obtain a basic grasp of how the principles apply to all forces and fully understand them as they pertain to aerospace forces. The art of developing aerospace strategies depends on the airman's ability to view these principles from an aerial perspective and integrate their application with the fundamental beliefs as applied to aerospace power.

1.6.2. The principles of war are guidelines that commanders can use to form and select a course of action. The complexity of war in general and the unique character of each war in particular prohibits commanders from using these principles as a checklist to guarantee victory. The principles are not all inclusive; rather, they serve as valuable guides to evaluate potential courses of action and provide a basis for judgment in employing military forces. The principles are also independent, but tightly fused in application. No one principle should be considered without due consideration of the others. Combined with the fundamentals of aerospace power discussed later in this chapter, the principles of war provide the basis for a sound and enduring doctrine. These principles include unity of command, objective, offensive, mass, maneuver, economy of force, security, surprise, and simplicity.

1.7. Unity of Command. This principle ensures effort directed to a common objective is concentrated under one responsible commander. Often considered the essence of a successful operation, aerospace power's theater-wide perspective calls for unity of command to gain the most efficient application. Aerospace power is the product of multiple capabilities, and centralized command and control (C2) is essential to effectively fuse these capabilities. Although cooperation is possible through coordination, it is best achieved by vesting a single commander with the authority to direct all forces. In many MOOTW, the wide-ranging agency and nongovernmental operations involved may dilute unity of command. Nevertheless, a unity of effort must be preserved to ensure common focus and mutually supporting actions.

1.8. Objective:

1.8.1. This principle advocates directing (unity of effort) military operations toward a defined and attainable strategic, operational, or tactical goal. The objective is important in all military forces, but is especially so in air, space, and information warfare due to the versatility of aerospace forces. Unlike surface forces, modern aerospace forces do not normally need to sequentially achieve tactical objectives first before pursuing operational or strategic objectives. From the outset, aerospace forces can pursue tactical, operational, or strategic objectives in any combination or all three simultaneously.

1.8.2. In a broad sense, the principle of objective holds that political and military goals should be complementary and clearly articulated. A clear national military strategy provides focus for campaign or theater objectives. These objectives, in turn, determine military priorities at the operational level. Particularly in peace support operations, everyone must understand the time and persistence required. Commitment may be undermined if short-term solutions are applied to long-term operations. From an airman's perspective, the principle of the objective establishes priorities, concentrates forces to the priorities, and avoids siphoning force elements to fragmented objectives.

1.9. Offensive:

1.9.1. This principle is to act rather than react, and it dictates the time, place, purpose, scope, intensity, and pace of operations. This principle holds that offensive action (initiative) enables joint forces to dictate battlefield operations. Once seized, the initiative should be retained and fully exploited. While defense may be dictated by the combat situation, success in war is generally attained only while on the offensive. Even highly successful defensive air campaigns such as the World War II Battle of Britain were based on selective offensive engagements, rather than fragmentation into small patrols everywhere.

1.9.2. Aerospace forces are best used as an offensive weapon and are inherently offensive at the tactical level, even when employed in the operational or strategic defense because control of air and space is offensive in execution. A well planned and executed air attack is extremely difficult to completely stop. Aerospace forces speed and range give them a significant offensive advantage over surface and defending aerospace forces because the defender often requires more assets to defend specific ground targets than the attacker requires to strike them.

1.9.3. Although all military forces have offensive capabilities, airpower's ability to mass and maneuver and its ability to operate at different levels (tactical, operational, or strategic), or all three simultaneously, provide JFCs a resource with global presence to directly and almost immediately seize the initiative. Through prompt and decisive offensive actions, aerospace cause the enemy to react rather than act, deny the enemy the offensive, and shape the remainder of the conflict.

1.10. Mass:

1.10.1. Under this principle, combat power is concentrated at a decisive time and place. Generally, surface forces must mass before launching an attack, whereas airpower is singularly able to launch from widely dispersed locations and mass combat power at the objective. Moreover, from an airman's perspective, mass is not based only on the quantity of forces and materiel committed. Mass is an effect—not just overwhelming quantity. The speed, range, and flexibility of air forces—complemented by precision weapons and advances in command, control, and information-gathering technologies—allow air forces to achieve mass faster than surface forces.

1.10.2. In the past, hundreds of airplanes attacked one or two major targets. Massed bomber raids revisited targets, intending their attacks to gradually attain cumulative effects. Today, a single precision weapon with superior battle space awareness can often cause the destructive effect of hundreds of bombs.

1.10.3. Emerging information warfare capabilities also present new opportunities. They can, with precision, stealth, and the speed of light, affect a variety of functions and capabilities.

1.10.4. The airman's perspective of mass must also include airpower's global scale ability to assist in massing lethal and nonlethal surface forces. Rapid airlift mobility enabled the airborne assault during Operation Just Cause, a pivotal operation in Panama. Air forces' capability to act quickly and mass effects, along with their capability to mass other lethal and nonlethal military power, combine the principle of mass with the principle of maneuver.

1.11. Maneuver:

1.11.1. This principle calls for the flexible application of combat power to place the enemy at a disadvantage. Aerospace's maneuver ability is not only a product of speed and range, but also flows from flexible and versatile planning and execution. Like the offensive, maneuver forces the enemy to react, allows the exploitation of successful friendly operations, and reduces vulnerabilities.

1.11.2. The ability to quickly integrate a force and strike directly at strategic or operational centers of gravity (COG) is a key theme. A COG contains the characteristics, capabilities, or localities from which a force derives its freedom of action, physical strength, or will to fight. Air maneuver allows engagement from anywhere, thus forcing the adversary to be on guard everywhere. In 1994, during Operation Vigilant Warrior, Air Force air mobility forces provided combat power to deter Iraqi movements into Kuwait. Whether it involves air mobility or attack aircraft, in small or large numbers, the versatility and responsiveness of airpower allow the simultaneous application of mass and maneuver.

1.11.3. Maneuvering ground forces to achieve military mass has historically taken a tremendous amount of time and logistics effort. Air power is extremely agile and can play a critical role in American diplomacy. Examples include the airlift over the Himalayan mountains (1944), Berlin (1947-1948), Israel (1973), or more recent operations such as Support Hope (Rwanda), Provide Hope (former Union of Soviet Social Republics), and Provide Promise (Bosnia). In applying the principle of maneuver, air planners must also consider a related principle, the economy of force.

1.12. Economy of Force:

1.12.1. This principle calls for a rational use of force by selecting the best combat power mix. To ensure overwhelming combat power is available, minimum power should be dedicated to secondary objectives that do not support the larger operational or strategic objectives. This principle requires airmen to exercise a broader operational view and requires clearly articulated objectives and priorities.

1.12.2. Economy of force may require airpower in an area to attack, defend, delay, or conduct deception operations, depending on the area's importance or the objective's priority. Although this principle suggests the use of overwhelming force in one sense, it also recommends against "overkill" by guarding against unnecessary force. This is particularly relevant in MOOTW, in which excessive force can destroy the legitimacy support for an

operation.

1.12.3. Information operations conducted by aerospace forces enable the JFC to have dominant battlespace awareness to economically allocate forces for maximum effect. While this principle was developed well before airpower, it speaks directly to the greatest vulnerability of aerospace power—misuse or misdirection. Ill-defined objectives can lead to a piecemeal application, resulting in a loss of decisive effects.

1.13. Security:

1.13.1. This principle requires that friendly forces and their operations be protected from enemy action or unexpected enemy advantage. This principle also enhances freedom of action by reducing friendly forces vulnerability and creating opportunities to strike the enemy where least expected. Airpower is most vulnerable on the ground. Thus, air base defense is an integral part of airpower deployments. Bases not only must withstand aerial and ground attacks, but also must sustain concentrated and prolonged air activities. This is especially important during peace support or crisis situations, when forces may operate from austere and unimproved locations and face threats from individuals and groups as well as possible military or paramilitary units.

1.13.2. Security may also be obtained by staying beyond the enemy's reach. Aerospace forces are uniquely suited to capitalize on this through their global capabilities. Not only can they reach and strike, but they can also distribute data and analysis and execute C2 at extended range. Security from enemy intrusion conceals capabilities and intentions, while it allows friendly forces the freedom to gather the adversary's information.

1.13.3. Critical to security is the understanding that aerospace power is no longer just aircraft, missiles, and satellites, but includes information as well. With the proliferation of information technologies, it becomes even more critical. Advanced microchips and communications allow the concept of information superiority to be a strategic component of warfare. An example of that component is the precise strategic attacks delivered against Iraq's central C2 during Desert Storm.

1.13.4. Information technology can also directly or indirectly affect national or group leadership, population, and infrastructure, bypassing direct military confrontation. Whoever can gain, defend, exploit, and attack information, thus denying an opponent's capabilities, has a distinct strategic advantage.

1.14. Surprise:

1.14.1. This principle leverages the security principle by attacking the enemy at a time or place or in a manner for which the enemy is unprepared. Surprise is one of aerospace power's strongest advantages. Speed, range, flexibility, and versatility allow air forces to achieve surprise more readily than surface forces. Aerospace forces can enhance and empower surface forces to achieve surprise. Airpower's rapid global reach also allows surface forces to reach foreign destinations quickly, thus seizing the initiative through surprise. Air- and space-based ISR systems enhance the ability to achieve surprise. The commander can decide the assault time and place because terrain and distance are not inhibiting factors.

1.14.2. Historically, armies and navies massed in large numbers to create significant impact. Today, the technology impact of precision-guided munitions enables a relatively small number of aircraft to achieve national- or theater-level objectives. When combined with stealth and information technologies, aerospace forces today can provide shock and surprise without exposing friendly massed forces unnecessarily.

1.14.3. In 1990, Saddam Hussein failed to consider the global presence of aerospace forces. When the first explosions rocked downtown Baghdad, the ability of modern airpower to strike without warning, and with great accuracy, proved the Iraqi dictator wrong. Saddam Hussein grossly misjudged the power of an integrated surprise air attack. Aerospace power allowed the coalition to achieve victory, while ensuring the coalition forces themselves would not become victims of surprise.

1.15. Simplicity. The final principle calls for avoiding unnecessary complexity in organizing, preparing, planning, and conducting military operations. This ensures guidance, plans, and orders are as simple and direct as the objective will allow. Simple guidance then allows subordinate commanders the freedom to creatively operate within their battle space. Military operations, especially joint operations, are often complex. Common equipment, a common understanding of Service and joint doctrine, and familiarity with procedures through joint exercises and training can help overcome complexity, but straightforward plans and unambiguous organizational and command relationships are essential. The premise that airmen work for airmen and the senior airman (the commander of Air Force forces) works for the JFC is central to simplicity.

Section 1E—Tenets of Aerospace Power

1.16. Overview:

1.16.1. The fundamental guiding truths of aerospace power employment are known as tenets. Aerospace power is intrinsically different from either land or sea power, and

its employment is guided by different rules. Aerospace mediums operate in three dimensions. While airpower is primarily governed by aerodynamics, space power is guided by orbital mechanics and is not limited by Earth's vertical atmosphere. The tenets reflect airpower's unique historical and doctrinal evolution and provide an understanding of the nature of aerospace power. They complement the principles of war, providing more specific application guidance in support of the principles of war's general guidance. They reflect lessons of aerospace operations through history and highlight the way integrated aerospace forces differ from surface forces in providing global strategic aerospace power.

1.16.2. As with the principles of war, the tenets require informed judgment in application and a skillful blending to tailor them to the ever-changing operational environment. The seemingly conflicting demands of the principles and tenets require an expert understanding to strike the required balance. No two operations are alike. Therefore, in the last analysis, the commander must accept the fact that war is incredibly complicated and strive to craft the most effective employment of aerospace power for a given situation.

1.17. Centralized Control and Decentralized Execution of Aerospace Forces. Centralized control and decentralized execution of aerospace forces are critical to force effectiveness.

1.17.1. Aerospace power must be controlled by one entity (commander or command group) with a broad strategic and/or theater perspective in prioritizing the use of limited air and space assets in any contingency. Through centralized control, commanders give coherence, guidance, and organization to the aerospace effort and focus the tremendous impact of aerospace power wherever needed across the theater of operations.

1.17.2. Just as central to the proper application of aerospace power is the concept of decentralized execution. The delegation of execution authority to responsible and capable lower level commanders is essential to achieve effective span of control and foster initiative, situational responsiveness, and tactical flexibility.

1.17.3. Centralized control and decentralized execution are illustrated by the 2,000 to 3,000 sorties a day flown in the Gulf War. The single command intent of the JFC was centrally planned and then distributed and executed across an entire theater battlespace by the following: over 500 flight leads; mission, crew, and flight commanders; and support teams in a continuous application against an entire range of separately engaging, thinking, reacting enemies.

1.18. Aerospace Power is Flexible and Versatile. Although often used interchangeably, flexibility and versatility are distinct in meaning.

1.18.1. Flexibility allows aerospace forces to exploit mass and maneuver simultaneously to a far greater extent than surface forces. Flexibility allows air operations to quickly and decisively shift from one campaign objective to another. The A-10, usually considered a close air support (CAS) aircraft, took on many interdiction missions during Desert Storm, while one wing of F-111s, optimized as long-range, deep-interdiction aircraft, destroyed hundreds of tanks and armored fighting vehicles with precision weapons.

1.18.2. Versatility means that aerospace forces can be employed equally effectively at the strategic, operational, and tactical levels, and these forces can simultaneously achieve objectives at all three levels of war in parallel operations.

1.18.3. "Parallel operations" describes the idea that aerospace operations are most effective when they create effects that help achieve different levels of objectives at the same time. For example, attacks against enemy surface forces in tactical formations, army field headquarters, and national command centers on succeeding days could be considered examples of parallel attacks. Each of these targets operates typically at a different level of operations; that is, the tanks and trucks represent the tactical level of operations, the army field headquarters can be considered an operational level target, and the national command center is an example of an enemy target operating at the strategic level of operations. Hitting at all these levels at the same time on the same day is an example of parallel and simultaneous attack.

1.18.4. Simultaneous and parallel operations are the most effective use of aerospace power in producing shock, confusion, and paralysis within the adversary's system. The versatility of aerospace power, properly executed in parallel attacks, can attain parallel effects which present the enemy with multiple crises occurring so quickly that there is no way to respond to all or, in some cases, any of them. Such a strategy places maximum stress on both enemy defenses and the enemy society as a whole.

1.18.5. Parallel force application theory is not new, but its recent emphasis is a product of efficient high-technology precision weapons, C2 techniques, and ISR systems and the result of synergistic application. For parallel strategic operations, the swift, massive, and precise application of air, space, and information power against several critical COGs may be sufficient to produce shock and result in organizational paralysis that provides the leverage to dominate surface as well as aerospace operations.

1.19. Aerospace Forces Produce Synergistic Effects.

The proper coordinated force can produce effects that exceed separately employed individual forces. The destruction of a large number of targets through attrition warfare is rarely an objective. The key objective in modern war is the precise, coordinated application of various elements of aerospace and surface forces to bring disproportionate pressure on enemy leaders to comply with our national will. The overwhelming ability to observe an adversary allows counter movements with unprecedented speed and agility. Aerospace power is unique in its ability to accomplish this and thus dictate the tempo and direction of an entire warfighting effort from MOOTW operations through major conflict.

1.20. Aerospace Systems are Uniquely Suited to Persistent Operations:

1.20.1. Unlike surface power, aerospace power's speed and range allows its forces to visit and revisit wide ranges of targets over and over, if necessary. Aerospace power does not have to occupy terrain or remain near the operation to bring force to bear. Space forces in particular hold the ultimate high ground; and, as space systems advance and proliferate, they offer the potential for "permanent presence" over any part of the globe.

1.20.2. Persistence is a critical element in ensuring the prolonged effect of air, space, and information operations. Persistent operations goals include maintaining a continuous flow of materiel to peacetime distressed areas; constantly watching an adversary to ensure it cannot conduct subversive actions; assuring targets are kept out of commission; and ensuring enemies are denied resources and facilities and allies receive the same during a defined time. The end result would be to deny the opponent an opportunity to seize the initiative and accomplish its tasks.

1.20.3. The intent of most modern aerospace operations is to quickly attain objectives through swift, parallel, and decisive blows to the adversary's COG. However, on some occasions, factors such as enemy resilience, effective defenses, and environmental concerns prevent this from happening. Because aerospace operations provide the most efficient and effective means to attain national objectives for many situations, commanders must continue aerospace operations and resist pressure to divert resources unless such diversions are vital to theater goals or to the survival of a joint force element. Given sufficient time, even the most devastating strategic effects can be circumvented by resourceful enemies. Therefore, the goal is to keep the pressure on and not allow the enemy that time.

1.21. Aerospace Operations Must Achieve Concentration of Purpose. One of the most enduring and important concepts is to concentrate overwhelming power at the decisive time and place. The principles of mass and economy of force deal directly with the concentration of overwhelming power. The demand for aerospace forces will often exceed their availability and may result in the fragmentation of the integrated aerospace effort. Depending on the operational situation, such a course of action may court the triple risk of (1) failing to achieve operational-level objectives, (2) delaying or diminishing the attainment of decisive effects, and (3) increasing the attrition rate of air forces—and consequently risking defeat.

1.22. Aerospace Operations Must Be Prioritized. Demands for aerospace forces could swamp air commanders in future conflicts unless appropriate priorities are established. Only theater-level commanders of land and naval components can effectively prioritize air component support requirements to the JFC, and only then can the JFC (in dialog with the air component commander) effectively establish aerospace force priorities. The air commander should assess the possible uses of the following: aerospace forces, force strengths and capabilities to support the battle at hand, concurrent air operations, and the overall joint campaign. Limited resources require aerospace forces to be applied where they can make the greatest contribution to the most critical and current JFC requirements. The principles of mass, offensive, and economy of force; the tenet of concentration; and the airman's strategic perspective all apply to prioritizing aerospace force operations.

1.23. Aerospace Operations Must Be Balanced. Balance is an essential guideline for air commanders. Because technologically sophisticated aerospace assets are only available in finite numbers, balance is a crucial determinant for an air commander. An air commander should balance combat opportunity, necessity, effectiveness, efficiency, and the impact on accomplishing assigned objectives against the associated risk to friendly forces. An air commander is uniquely suited to determine the proper theater-wide balance between offensive and defensive operations and among strategic, operational, and tactical applications.

Section 1F—Aerospace Power Functions

1.24. Overview:

1.24.1. The Air Force's basic functions are the broad, fundamental, and continuing activities of aerospace power. However, these functions are not necessarily unique to the Air Force; elements of other Services may perform them or similar activities to varying degrees. Together they represent the means by which Service forces accomplish missions assigned to JFCs by the NCA and combatant commanders.

1.24.2. These basic functions have evolved steadily since

aerospace power's inception. DoD assigned them to the US Air Force, requiring the Air Force to be the only Service specifically directed to organize, train, equip, and provide forces for the conduct of prompt and sustained combat operations in the air as well as for strategic air and missile warfare. The Air Force employs aerospace power globally through these basic functions to achieve strategic-, operational-, and tactical-level objectives in war and MOOTW. It is this inherent versatility—when combined with the speed, flexibility, and global nature of our reach and perspective—that generates the unique Air Force contribution to the joint forces.

1.24.3. Battle-proven aerospace power functions can be conducted at any level of war and enable the Air Force to shape and control the battlespace.

1.25. Counterair. This function consists of operations to attain and maintain a desired degree of air superiority by the destruction or neutralization of enemy forces. Counterair's two elements, offensive counterair and defensive counterair, enable friendly use of otherwise contested airspace and disable the enemy's offensive air and missile capabilities to reduce the threat posed against friendly forces. The entire offensive and defensive counterair effort should be controlled by one air officer under the centralized control-decentralized execution concept to assure concentration of effort and economy of force. Aerospace superiority is normally the JFC's first priority for aerospace forces.

1.25.1. Offensive Counterair (OCA). This subfunction consists of operations to destroy, neutralize, disrupt, or limit enemy air and missile power as close to its source as possible and at a chosen time and place. This function is often the most effective and efficient method for achieving the appropriate degree of air superiority because aerospace forces are inherently offensive and yield the best effect when so employed. OCA operations include the suppression of enemy air defense targets, such as aircraft and surface-to-air missiles or local defense systems, and their supporting C2. OCA operations protect friendly forces and vital interests by destroying or neutralizing enemy offensive air and missile threats before they can cause effects. This freedom from attack enables action by friendly forces—freedom to attack.

1.25.2. Defensive Counterair (DCA). This subfunction concentrates on defeating the enemy's offensive plan and inflicting unacceptable losses on attacking forces. DCA is synonymous with air defense. It consists of active and passive operations to defend friendly airspace, forces, materiel, and infrastructure from enemy air and missile attack. It entails detection, identification, interception, and destruction of attacking enemy air and missiles and normally takes place over or close to friendly territory.

1.26. Counterspace. This function includes those offensive and defensive operations conducted by land, sea, air, space, special operations, and information forces with the objective of gaining and maintaining control of activities conducted in or through the space environment. The main objective of counterspace is to allow friendly forces to exploit space capabilities, while negating the enemy's ability to do the same.

1.26.1. Offensive Counterspace (OCS). This subfunction destroys or neutralizes an adversary's space systems or the information the adversary provides at a time and place of our choosing through attacks on the space, terrestrial, or link elements of space systems. OCS operations are conducted to achieve five major goals; deception, disruption, denial, degradation, and destruction of space assets or capabilities. These operations may include military operations such as surface-to-surface and air-to-surface attacks against space support facilities or space payloads before they are placed in orbit, as well as jamming of enemy satellite frequencies. OCS operations initiated at the onset of hostilities can result in early space control and an immediate advantage in space capabilities.

1.26.2. Defensive Counterspace (DCS). This subfunction includes active and passive actions to protect our space-related capabilities. Active counterspace defense measures detect, track, identify, intercept, and destroy or neutralize enemy space and missile forces; passive counterspace defense reduces friendly space forces' vulnerabilities and increase survivability. An example of a passive counterspace action is designing survivability features into satellites, satellite maneuver, emission control, and decoys.

1.27. Counterland. This function involves operations conducted to attain and maintain a desired degree of superiority over surface operations by the destruction or neutralization of enemy surface forces. The main objective of counterland operations is to dominate the surface environment and prevent the opponent from doing the same. Although normally associated with support to friendly surface forces, counterland is a flexible term that can encompass the identical missions without a friendly surface-force presence. The independent or direct attack by aerospace forces is the essence of asymmetric application and a key to success during operations to decisively halt an adversary during initial phases of a conflict. Specific traditional functions associated with aerospace counterland operations are interdiction and close air support (CAS).

1.27.1. Interdiction. This subfunction consists of operations to divert, disrupt, delay, or destroy the enemy's surface military potential before it can be used effectively against friendly forces.

1.27.1.1. Air interdiction's ability to delay and disrupt may have a devastating impact on the enemy's plans and ability to respond to the actions of friendly forces even before friendly surface forces appear. Interdiction attacks enemy C2 systems, personnel, materiel, logistics, and supporting systems to weaken and disrupt the enemy's efforts. It can also achieve objectives by destruction, blockage, channelization, or disruption or by inducing systemic inefficiencies. Information warfare can also be used to conduct interdiction by intercepting or disrupting information flow or damaging or destroying controlling software and hardware.

1.27.1.2. Joint force air forces provide air interdiction that is responsive across the theater and unconstrained by battlefield boundaries. The joint force air component commander (JFACC) uses JFC priorities to plan and execute the theater-wide interdiction effort. Interdiction and surface-force maneuver can be mutually supporting. Interdiction can support surface operations by forcing the enemy to react, thereby exposing vulnerabilities to surface force maneuver forces. Additionally, attacks on enemy C2 systems interfere with an adversary's ability to effectively mass, maneuver, withdraw, supply, and reinforce its surface forces.

1.27.2. Close Air Support (CAS). This subfunction helps friendly surface forces carry out their assigned tasks. CAS consists of air operations against hostile targets in close proximity to friendly forces, thus requiring detailed integration of each air mission with the fire and movement of those forces. In fluid, high-intensity warfare, the need for tight control, the unpredictability of the tactical situation, and the proliferation of lethal ground-based air defenses make CAS especially challenging. CAS produces the most focused, but briefest effects of any counterland mission. By itself, CAS rarely achieves campaign-level objectives; but, at times, it may be the more critical mission by ensuring the success or survival of surface forces. CAS can halt attacks, help create breakthroughs, cover retreats, and guard flanks. To be most effective, however, CAS should be used at decisive points in a battle and should normally be massed to apply concentrated combat power and saturate defenses.

1.28. Countersea. This function is an extension of Air Force operations into a maritime environment, which include sea surveillance, surface warfare (SUW), protection of sea lines of communications through undersea warfare (USW) and air warfare (AW), aerial minelaying, and air refueling in support of naval operations. Countersea operations are considered collateral functions; that is, a mission other than that for which a force is primarily organized, trained, and equipped and one that the force can accomplish by virtue of the inherent capabilities of that force. Countersea operations are designed to achieve strategic-, operational-, or tactical-level objectives in the pursuit of joint force objectives in the maritime environment.

1.29. Strategic Attack. A strategic attack is:

1.29.1. An operation intended to directly achieve effects by striking the enemy's COG. The attack should affect the enemy's entire effort rather than just a single action, battle, or operation and should produce effects well beyond the proportion of effort expended in the execution. It is the effect of a relatively few well-placed systems, weapons, or actions on a few extremely valuable targets that distinguishes strategic attack from other functions. If properly applied, strategic attack is the most efficient means of employing aerospace power. This function may be carried out in support of a theater commander-in-chief (CINC) or as a stand-alone operation by direction of the NCA. It provides the theater commander with the option of creating decisive, far-reaching effects against an adversary while avoiding resource expenditure or loss.

1.29.2. A function of the objectives or effects achieved, not the forces employed. Strategic attack may be conducted against fielded forces. For example, strategic attack may be conducted against identified COGs such as major reserves or politically significant military formations, space launch and support elements, or forces used for strategic nuclear attack. Strategic attacks can be conducted independently by aerospace forces or in conjunction with friendly land and naval forces, and these will often overlap into a "gray area" with other functions such as interdiction and counterair.

1.29.3. Not limited to nuclear operations, heavy bombers and intercontinental ballistic missiles (ICBM), or total devastation of an enemy's war-making capacity. In fact, many strategic actions tend to be nonnuclear conventional or special operations against more limited war or contingency operations objectives, and these actions will increasingly include attack on an adversary's information and information systems. One key target is the enemy's C2 system. Disrupting the enemy's ability to communicate can be a critical step toward achieving strategic paralysis and disunity by cutting off its political or military leadership from its civilian community and fielded force. Strategic attack objectives often include producing effects to demoralize the enemy's leadership, military forces, and population, thus affecting its capability to continue the conflict. The means, methods, and aim of strategic attack can be tailored to the objective or objectives being sought.

1.30. Counterinformation. This function seeks to control the information environment and establish information superiority. Counterinformation creates an environment where friendly forces can conduct operations without suffering substantial losses, while simultaneously denying the enemy the ability to conduct its operations. Focus is

placed on countering the enemy's ability to attain information advantage. Like counterair and counterspace, counterinformation consists of both offensive and defensive aspects.

1.30.1. Offensive Counterinformation (OCI). This subfunction includes actions taken to control the information environment. The purpose is to disable selected enemy information operations. OCI operations are designed to destroy, degrade, or limit enemy information capabilities and depend on having an understanding of an adversary's information capabilities. Examples of OCI include jamming radars and corrupting data acquisition, transformation, storage, or transmissions of an adversary's information; psychological operations; deception; and physical or cyber attack.

1.30.2. Defensive Counterinformation (DCI). This subfunction includes those actions that protect our information, information systems, and information operations from the adversary. DCI functions, such as operations security (OPSEC), information security (INFOSEC), and counterintelligence, assess the threat and reduce friendly vulnerabilities to an acceptable level. Improving security procedures designed to safeguard equipment and information can prohibit unintentional and unwanted release of information.

1.31. Command and Control (C2). This function is the art of motivating and directing people and organizations into action to accomplish missions.

1.31.1. Inherent in command, control regulates forces and functions to execute the commander's intent. C2 includes both the process by which the commander decides the intended action and the system that monitors the decision implementation. Specifically, C2 includes the process of planning, directing, coordinating, and controlling of forces and operations; and it integrates procedures, organizational structures, personnel, equipment, facilities, information, and communications.

1.31.2. Air Force forces are employed in a joint force context by a JFC. The C2 of those forces can be through a Service component commander or functional component commander if more than one Service's air assets are involved. This commander (the JFACC) is the Service commander with the preponderance of air and space assets as well as the capability to plan, task, and control joint aerospace operations. Unity of command and other related aerospace doctrine advocate that C2 be centralized under one officer—an airman.

1.32. Airlift. This function is the transport of personnel and materiel through the air in support of national objectives. Airlift provides rapid and flexible force-mobility options which allow military forces to respond to and operate in a wider variety of circumstances and timeframes. A key function of the Air Force, airlift provides global reach for US military forces and the capability to quickly apply strategic global power to various crisis situations worldwide. The power-projection capability that airlift supplies is vital because it provides the flexibility to get rapid-reaction forces to the point of a crisis with minimum delay. Accordingly, airlift is viewed as a foundation of US national security at the strategic level and as a crucial capability for operational commanders within a theater. Air Force airlift can be classified as strategic (intertheater), theater (intratheater), or operational support based on the mission (not the airframe).

1.32.1. Intertheater Airlift. This subfunction provides bridges linking theaters to the CONUS and to other theaters, as well as airlift within the CONUS. The forces responsible for executing intertheater airlift missions are under the combatant command of the CINC, US Transportation Command. Due to the global ranges usually involved, intertheater airlift normally consists of heavy, longer-range, intercontinental airlift assets, but it may be augmented with shorter-range aircraft.

1.32.2. Intratheater Airlift. This subfunction provides the air movement of personnel and materiel within a CINC's area of responsibility. Assets designated to provide intratheater airlift are normally assigned or attached to that geographic CINC; for example, HQ USAFE/CC. Intratheater airlift is generally fulfilled by aircraft capable of operation under a wide range of tactical conditions, including small, austere, unimproved airfield operations.

1.32.3. Operational Support Airlift. This subfunction is airlift provided by assets that are an integral part of a specific Service, component, or MAJCOM and that primarily support the requirements of the organization to which they are assigned. These airlift assets are not common-user assets; they normally only serve in that role by exception. Operational support airlift operations provide for the timely movement of limited numbers of critical personnel and cargo for the assigned user.

1.33. Air Refueling. Along with airlift, the air refueling function fulfills the Air Force contribution to the joint mobility role. Air refueling is an integral part of US airpower across the range of military operations. It significantly expands the employment options available to a commander by increasing range, payload, and flexibility. It is especially important when overseas basing is limited or not available. Air Force air refueling assets are employed in the following five basic modes: nuclear single integrated operation plan (SIOP) support; long-range conventional strategic attack missions support; deployment of air assets to a theater; support of an airlift

line of communication or air bridge; and support of combat and combat-support aircraft operating in-theater.

1.34. Spacelift. This function projects deliver satellites, payloads, and materiel into or through space.

1.34.1. During periods of peace, increased tension, or conflict, the spacelift objective is to launch or deploy new and replenishment space assets as necessary to achieve national security objectives. To satisfy this requirement, spacelift must be functional, flexible, and capable of meeting the nation's full range of launch requirements from placing numerous small satellites in low earth orbit to placing a few large satellites in high, geostationary orbit.

1.34.2. There are three spacelift classifications based on the objective. "Launch to deploy" supports a requirement to initially achieve a satellite system's designed operational capability. In this approach, space systems are launched on a predetermined schedule. "Launch to sustain" is used to replace satellites that abruptly fail or are predicted to fail. They may be scheduled well in advance or may require unscheduled operations. Finally, "launch to augment" increases operational capability in response to a contingency requirement, crisis, or war. Unscheduled launches or payload adjustment on scheduled activity will likely be required.

1.35. Special Operations Employment:

1.35.1. Special operations employment is used to conduct unconventional warfare, direct action, special reconnaissance, counterterrorism, foreign internal defense, information operations, psychological operations, and counterproliferation.

1.35.2. To execute special operations, Air Force special operations forces (AFSOF) are normally organized and employed in small formations capable of both independent and supporting operations. This enables AFSOF to provide timely and tailored responses across the range of military operations. Uniquely distinctive from normal conventional operations, AFSOF may accomplish tasks at the strategic-, operational-, or tactical-levels of war or other contingency operations through the conduct of low-visibility, covert, or clandestine military actions.

1.35.3. Air Force special operations are usually conducted in enemy-controlled or politically sensitive territories and may complement or support general-purpose force operations. AFSOF is part of a joint special operations forces (SOF) team which provides combatant commanders with a synergistic capability to accomplish specialized tasks.

1.35.4. Special operations differ from conventional operations in their degree of physical and political risk, operational techniques, mode of employment, degree of overtness, independence from friendly support, and dependence on detailed operational intelligence and indigenous assets. Governments often view the use of SOF as a means of controlling escalation in situations where the use of conventional forces is unwarranted or undesirable. Accordingly, theater CINCs may choose to use SOFs, independently or in support of conventional forces, to operate in rear areas to exploit enemy weaknesses or collect intelligence that would not otherwise be available. SOFs can also operate as a strategic force independent of theater CINCs. However, such employment should be carefully coordinated to prevent conflict with other operations.

1.36. Intelligence, Surveillance, and Reconnaissance (ISR). This (combined) function provides clear, brief, relevant, and timely analysis on foreign capabilities and intentions for planning and conducting military operations. Through ISR, intelligence, surveillance, and reconnaissance operate together, enabling commanders to preserve forces, achieve economies, and accomplish campaign objectives. ISR is essential to gaining and maintaining information superiority.

1.36.1. Intelligence:

1.36.1.1. The overall objective of intelligence is to enable commanders and combat forces to know the enemy and operate smarter. It helps commanders by collecting, analyzing, fusing, tailoring, and disseminating intelligence to the right place at the right time for key decision-making.

1.36.1.2. Intelligence provides indications of enemy intentions and guides decisions on how, when, and where to engage enemy forces to achieve the commander's objectives. It assists in combat assessment through a munitions-effects assessment and a bomb-damage assessment. Intelligence organizations integrate technical and quantitative assessments with analytical judgments based on detailed knowledge of the way the enemy thinks and operates.

1.36.1.3. Commanders know that even the best intelligence may not provide a complete picture, especially when the enemy is practicing deception or when the intelligence is derived from a single source. Still, intelligence gives commanders the best available estimate of enemy capabilities, COGs, and courses of action.

1.36.2. Surveillance. This is the function of systematically observing air, space, surface, or subsurface areas, places, persons, or things, by visual, aural, electronic, photographic, or other means. Surveillance is a continuing process; it is not oriented to a specific "target."

In response to military forces needs, surveillance must be designed to provide warning of enemy initiatives and threats and to detect changes in enemy activities. Air- and space-based surveillance assets exploit elevation to detect enemy initiatives at long range. For example, extreme elevation makes space-based, missile-launched detection and tracking indispensable for defense against ballistic missile attack. Surveillance assets are essential to national and theater defense and to the security of air, space, subsurface, and surface forces.

1.36.3. Reconnaissance. This subfunction complements surveillance in obtaining specific information about the activities and resources of an enemy or potential enemy by visual observation or other detection methods. It also compliments surveillance by securing data concerning the meteorological, hydrographic, or geographic characteristics of a particular area. Reconnaissance generally has an associated time constraint. Collection capabilities, including manned and unmanned airborne and space-based systems and their associated support systems, are tailored to provide the flexibility, responsiveness, versatility, and mobility required by the fluid and global taskings. Intelligence critical to the prosecution of current combat operations is evaluated and transmitted in near real time to those elements having a need for the information.

1.37. Combat Search and Rescue (CSAR). This function is an integral part of US combat operations. It consists of air operations conducted to recover distressed personnel during wartime or contingency and is a key element in sustaining the morale, cohesion, and fighting capability of friendly forces. CSAR preserves critical combat resources and denies the enemy potential sources of intelligence. Although every Air Force weapon system has the inherent capability to support CSAR operations, the Air Force maintains certain forces specifically dedicated for search, rescue, and recovery operations.

1.38. Navigation and Positioning. This function provides accurate location and time of reference in support of strategic-, operational-, and tactical-operations. For example, space-based systems provide the Global Positioning System, airborne-based systems provide air-to-surface radar, and ground-based systems provide various navigation aids. Navigation and positioning help air forces rendezvous for air refueling, synchronize effort via a common timing capability, and provide position, location, and velocity for accurate weapons delivery.

1.39. Weather Operations. This function supplies timely and accurate environmental information, including space environment and atmospheric weather. Weather services personnel gather, analyze, and provide meteorological data for mission planning and execution. Environmental information is integral to the decision process and timing for employing forces and planning and conducting air-, ground-, and space-launch operations. Weather services also influence the selection of targets, routes, weapon systems, and delivery tactics; and these services are a key element of information superiority.

Section 1G—Key Organizing Concepts and a Vision for the Future

1.40. Key Organizing Concepts:

1.40.1. Overview. In addition to the doctrine that Air Force commanders and personnel at all levels use to make decisions, the following four key organization concepts guide overall Air Force policy and direction:

1.40.1.1. The Air Force is America's Only Full-Service Aerospace Force. Aerospace arms of the other Services have surface defense and support mission priorities that limit their ability to exploit the full scope of aerospace operations. For example, Army and Marine aviation arms are organized and trained to provide immediate and close support to their ground forces. Likewise, naval aviation's first priority is to support fleet operations. In contrast, only the Air Force is charged with preparing aerospace forces that are organized, trained, and equipped to fully exploit aerospace power's capability to accomplish assigned missions across all theaters and the full spectrum of operations.

1.40.1.2. The Air Force Organizes for Wartime With Global Capabilities and Responsibilities. Organizational structures and processes must be simple, responsive, and flexible. The Air Force normally operates as a member of an interdependent team of land, naval, air, space, and special operations forces. This interdependence demands attention to joint and multinational requirements when organizing, training, and equipping.

1.40.1.3. The Air Force Has Three Components; Active Duty, Air National Guard, and Air Force Reserve. The Air Force organizes, trains, and equips as one total force with individual components made up of military and civilian personnel. Selected Air reserve component (ARC) forces are the initial and primary sources of augmentation of the active force. ARC forces are manned, trained, and equipped to deploy with or support active forces as required.

1.40.1.4. The Air Force Organizes, Trains, and Equips Air Forces Through Its MAJCOMs. Forces are provided to combatant (unified) commands for employment. The organization of these MAJCOMs is based on combat, mobility, space, and special operations plus the materiel support required for these operations.

1.41. Vision for the Future:

1.41.1. During almost a century of manned flight, aerospace power has achieved a prominent position in military affairs. The dominance of the JFC's air arm during Desert Storm saw the fruition of airpower's early promise. Given the right circumstances (speed, range, and stunning precision, combined with the strategic perspective of its leaders), aerospace forces will dominate the entire range of military operations in the air, on land, on the sea, and in space.

1.41.2. Air Force doctrine is based on experience, hard won with the blood of airmen and tempered by advances in technology which, if ignored, can lead (and have led) to disaster. AFDD 1 is the "capstone" publication in the Air Force doctrine hierarchy and the premier theory statement which guides the employment of Air Force aerospace power. Its sister "keystone" document—AFDD 2, *Organization and Employment of Aerospace Power*—complements AFDD 1 with the basic principles of aerospace power application; that is, how we fight and the means by which the Air Force applies people and resources to achieve assigned missions. Neither of these documents or any other Air Force doctrine document is complete; they are continuous works in progress.

1.41.3. We must remain alert and receptive to past lessons and future technologies that may alter the art of aerospace warfare. A doctrinal disease called "dogma" caused hundreds of thousands of WWI soldiers to fall before the adversary's machine guns. Dogma caused thousands of unescorted bombers to challenge and almost lose to the first-rate German Air Force fighters in WWII, and it led to a lack of vision in applying aerospace power in Southeast Asia. The shining success of aerospace power in Desert Storm and the skies over Bosnia illuminates the ability of the Air Force to learn and apply the lessons of the past.

1.41.4. Lessons of the last war must always be questioned because all conflicts are different. Certain principles (unity of command, objective, and offensive) have stood the test of time. If we ignore the potential of space and information operations and the global and strategic natures of aerospace power, we may commit the same sins as our forebears. If we ignore the reality of "learning" adversaries who will seek asymmetric strategies, anti-access capabilities, and favorable arenas within which to influence and engage us, we flirt with catastrophe. Tomorrow, a new set of conditions and requirements will prevail. In fact, new conditions and environments are already emerging. The best hedge against these conditions is an institutional commitment to learn from experience and to exploit relevant ideas and new technologies. Only in this way can we be the masters of our future.

1.42. Conclusion. This chapter provided information on Air Force basic doctrine, strategy, and war, and it continued with the airman's perspective on the principles of war and the tenets of aerospace power. Aerospace power functions and Air Force key organizing concepts were outlined to provide the "big picture" perspective and a better understanding on how missions assigned by the NCA are to be accomplished.

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Chapter 2

THE JOINT FORCE

Section 2A—Overview

2.1. Introduction:

2.1.1. Over time, the American experience in war increasingly demanded cooperation, coordination, and integration of all the US military services. Today, joint operations are routine and, thus, routinely practiced. Whether there are years to prepare and plan (as in the Normandy invasion), months (as in Operation Desert Storm), or only a few days (as in Operation Urgent Fury), the US armed forces must always be ready to operate in smoothly functioning joint teams.

2.1.2. Topics in this chapter, extracted from Joint Publication (JP) 1, *Joint Warfare of the Armed Forces of the United States*, and JP 3-56.1, *Command and Control for Joint Air Operations*, include American military power, values in joint warfare, fundamentals of joint warfare, and exercise of command (the philosophy of command). Topics also included are Nature of Joint Air operations, Command and Control, Planning for Joint Operations, and Targeting and Tasking. Finally, this chapter discusses the unifying focus for US military operations—the joint campaign—and concludes with an example that illustrates these themes.

Section 2B—Joint Warfare of the US Armed Forces

2.2. American Military Power:

> *Deterrence is our first line of our national security. If deterrence fails, our objective is winning the nation's wars. In military operations other than war, our purpose is to promote national security and protect our national interests.*
>
> JP1

2.2.1. Why We Fight:

2.2.1.1. By demonstrating national resolve and maintaining the ability to deal successfully with threats to the national interests, the US deters the use of military power by adversaries. Readiness and military professionalism lessen the risk of having to fight at all. When we fight, we fight to win.

2.2.1.2. The US also has a long history of military support for national goals short of war, ranging from service to the nation (such as surveying railroads and waterways in the 19th century) to varied actions abroad in support of foreign policy. In all MOOTW, the purpose again is to promote national security and protect national interests.

2.2.2. Nature of Modern Warfare:

> *The nature of warfare in the modern era is synonymous with joint warfare.*
>
> JP1

2.2.2.1. Members of the US Armed Forces should understand the nature of warfare from the tested insights of the finest theorists, historians, and practitioners of war and carefully keep those insights up to date. Unlike nations whose military forces can concentrate on a more limited range of environments, members of the US Armed Forces face the challenge of mastering multifaceted conditions. The ability to project and sustain the entire military power range over vast distances is a basic requirement for the US armed forces, and this ability contributes day in and day out to maintaining stability and deterrence worldwide. This projection of power is inherently a joint undertaking because of the broad range of forces typically use; the inter-Service linkages of modern command, control, and communications; and the multi-Service structure of the defense transportation system.

2.2.2.2. Now more than ever, land, sea, and air forces reinforce and complement each other. Joint teams must be trained and ready prior to conflict. The demands of fighting both as an industrial and postindustrial power place a premium on well- educated, professional men and women who have mastered the modern warfare tools, yet maintain the traditional fighting spirit. Reserve components play essential roles in assuring a balanced array of skills is available as needed. All soldiers, sailors, airmen, marines, and coast guard personnel must be adept at working with fellow members of the US military and with allies and other foreign partners.

2.2.3. The Role of Joint Doctrine:

2.2.3.1. Joint doctrine offers a common perspective from which to plan and operate, and it fundamentally shapes the way joint forces think about and train for war. Military doctrine presents fundamental principles that guide force employment. Though neither policy nor strategy, joint doctrine deals with the fundamental issue of how best to employ the national military power—either alone or in conjunction with coalition forces to achieve strategic ends.

2.2.3.2. Chapter 1 of this publication provides additional basic doctrine information. Air Force doctrine describes

how Air Force assets are organized, trained, equipped, and operated to conduct and support joint operations. Air Force doctrine is consistent with and complementary to joint doctrine.

2.3. Joint Warfare Values. These values are integrity, competence, physical and moral courage, teamwork, trust and confidence, delegation, and cooperation, as follows:

2.3.1. In the case of joint action, as within a Service, *integrity* is the cornerstone for building trust.

2.3.2. *Competence* cements the mutual cohesion between leader and follower.

2.3.3. Since warfare began, *physical courage* has defined warriors. Even in warfare featuring advanced technology, individual fighting spirit and courage remain the inspiration for battle teamwork.

2.3.4. *Moral courage* is the willingness to stand up for what we believe is right even if that stand is unpopular or contrary to conventional wisdom. Other aspects involve risk taking and tenacity, making bold decisions in the face of uncertainty, accepting full responsibility for the outcome, and holding to the chosen course despite challenges or difficulties.

2.3.5. *Teamwork* is the cooperative group effort to deterring aggression and, if need be, win wars.

2.3.6. *Trust and confidence*—trust defined as total confidence in the integrity, ability, and good character of another—is one of the most important ingredients in building strong teams.

2.3.7. The *delegation* of authority commensurate with responsibility is a necessary part of building trust and teamwork.

2.3.8. *Cooperation* can be at tension with competition. Both are central human characteristics, but the nature of modern warfare puts a premium on cooperation to compete with the enemy.

2.4. Fundamentals of Joint Warfare. The principles of war currently adopted by the US Armed Forces are unity of command, objective, offensive, mass, maneuver, economy of force, security, surprise, and simplicity. The rest of this section presents concepts derived from applying the principles of war in the specific context of joint warfare (Figure 2.1). In some cases, several principles are involved in a particular application. In all cases, the principles are applied broadly, avoiding literal or dogmatic construction.

2.4.1. Unity of Effort:

Figure 2.1. Fundamentals of Joint Warfare.

FUNDAMENTALS OF JOINT WARFARE

- Unity of Effort
- Concentration of Military Power
- Seizing and Maintaining the Initiative
- Agility
- Operations Extended to Fullest Breadth and Depth
- Maintaining Freedom of Action
- Sustaining Operations
- Clarity of Expression
- Knowledge of Self
- Knowledge of the Enemy

2.4.1.1. This fundamental is first achieved at the national level. To secure national policy aims and objectives, the President, assisted by the National Security Council, develops national security strategy by employing the political or diplomatic, economic, informational, and military powers of the nation.

2.4.1.2. In support of this national security strategy, the Chairman of the Joint Chiefs of Staff (JCS), in consultation with the other members of the JCS, advises the President and Secretary of Defense (the national command authorities [NCA]) concerning the application of military power. The resulting national military strategy provides strategic focus for US military activity.

2.4.1.3. Strategy involves understanding the desired policy goals for a projected operation; that is, what should be the desired state of affairs when the conflict is terminated. The clear articulation of aims and objectives and the resulting strategic focus are fundamental prerequisites for unity of effort.

2.4.2. Concentration of Military Power. This fundamental is a basic consideration. All military forces strive to operate with overwhelming force based on the quantity of forces and materiel committed and the quality of planning and skillful employment. Properly trained and motivated forces with superior technology, executing innovative, flexible, and well-coordinated plans, provide a

decisive qualitative edge. Careful selection of strategic and operational priorities aids concentration at the decisive point and time. Action to affect the enemy's dispositions and readiness prior to battle and to prevent enemy reinforcement also promotes concentration.

2.4.3. Seizing and Maintaining the Initiative. This fundamental is an American military tradition, although as a nonaggressive nation, Americans may initially be forced to fight defensively. Taking calculated risks to throw an opponent off balance or achieve major military advantage may be required. In any case, retaining the initiative relies on the ability of military people to think for themselves and execute orders intelligently.

2.4.4. Agility. This fundamental is the ability to move quickly and easily.

2.4.4.1. Agility is relative; the aim is to be more agile than the foe. Agility is not entirely about speed, but about timeliness—thinking, planning, communicating, and acting faster than the enemy can effectively react. Operating on a more accelerated time scale than the enemy's can expand options while denying opponents'.

2.4.4.2. Operations on land, sea, undersea, and in air and space must achieve a synchronized timing and rapid tempo that overmatch the opponent. Strategic agility requires properly focused logistic support and a smoothly functioning defense transportation system. Forward-deployed forces, pre-positioning, and the ability to deploy forces rapidly from the US (and to redeploy them as necessary within and between theaters) also enhance strategic agility. The ability to integrate and exploit the various capabilities of a joint force can disorient an enemy, helping to create a mismatch between what the foe anticipates and what actually occurs. This mismatch can lead to shock, panic, and demoralization, especially in the minds of the enemy leadership.

2.4.5. Operations Extended to Fullest Breadth and Depth. When militarily advantageous, operations should be extended to the fullest breadth and depth feasible, given political, force, and logistic constraints. Requiring the enemy to disperse forces over a broad area can result in force attrition and complicate enemy planning. At the operational level, joint air, land, sea, special operations, and space forces can enable operations to be extended throughout a theater, denying sanctuary to the enemy. At the strategic level, the use of armed force anywhere can have implications throughout the military establishment. Commanders not immediately affected may nonetheless play critically important support roles, while preparing their forces for the possibility of more direct involvement should the scope or site of conflict change or expand.

2.4.6. Maintaining Freedom of Action:

2.4.6.1. This fundamental is vitally important. There are many components to securing and ensuring the freedom to act. Effective diplomatic, economic, military, and informational components of national security strategy are needed at the national level. Adequate logistic support is essential, as is maintaining the operations security of plans and gaining the fullest possible surprise.

2.4.6.2. A force structure that provides insurance against unanticipated developments or the underestimation of enemy strengths is important as well. For instance, sophisticated information technology and modern news reporting make the tasks of ensuring operations security and surprise more difficult. Joint forces should understand that very demanding security precautions are a likely part of future operations, so they should practice staff efficiency and public affairs activities under realistic conditions.

2.4.6.3. Finally, the role of deception in securing freedom of action should never be underestimated. Deception at the joint force level requires clear themes around which all components can focus their efforts.

2.4.7. Sustaining Operations. Operations at the strategic and operational levels underwrite agility, extension of operations, and freedom of action. In the words of Rear Admiral Henry Eccles, USN, *"The essence of flexibility is in the mind of the commander; the substance of flexibility is in logistics."* Strategic and theater logistics and deployment concepts are integral to combat success. These concepts are driven by the plans and orders of joint force commanders and supported by the Services, other supporting commands, and often, host-nation support from allies and friends. Logistic standardization (to include deployment procedures and equipment interoperability, where practical) also enhances joint force sustainment.

2.4.8. Clarity of Expression. Although modern warfare is inherently complex, plans and operations should be kept as simple as possible. The fundamental of clarity of expression should predominate, using common, clear, and concise terms and procedures. This is particularly important when operating with allies or improvised coalitions.

2.4.9. Knowledge of Self. This fundamental is required for effective joint operations. The first priority is to have a full and frank appreciation for the capabilities and limitations of all friendly forces. Service forces assigned to a joint force provide an array of combat power from which the joint force commander can choose. Component commanders best know the unique capabilities their forces bring to combat and how those capabilities can help attain the JFC's objectives. Component commanders should also know how these capabilities mesh with the forces of the

other components so they can assist JFCs, other component commanders, and their staffs to integrate the whole.

2.4.10. Knowledge of the Enemy. This fundamental is a preeminent, but difficult responsibility. Traditionally, emphasis has been on understanding enemy capabilities. However, knowledge of enemy intentions can be equally or even more important, to the extent that it sheds light on enemy plans and facilitates timely and effective action to blunt them.

2.5. Exercise of Command:

2.5.1. Command Relationships. The primary emphasis in command relations should be to keep the chain of command short and simple so it is clear who is in charge of what. American military power is employed under JFCs, using a flexible range of command relationships. Indispensable elements of effective command are liaison, the role of component commanders, training and education, and C2 warfare:

2.5.1.1. Liaison. Experience shows liaison is a particularly important part of command, control, and communications in a joint force. Recalling Carl von Clausewitz' analogy of a military force as an intricate machine, ample liaison parties, properly manned and equipped, may be viewed as a lubricant that helps keep that machine working smoothly.

2.5.1.2. Role of Component Commanders. The role of component commanders in a joint force merits special attention. Component commanders are first expected to orchestrate the activity of their own forces, branches, and warfare communities. In addition, they must understand how their own pieces fit into the overall design and best support the JFC's plans and goals.

2.5.1.3. Training and Education. The role of training and education is indispensable to effective command. We fight as we train and exercise. Our leaders' skills rest in large part on the quality of their military training and education.

2.5.1.4. C2 Warfare. Joint forces should be prepared to degrade or destroy the enemy's command capability early in the action. The joint force offers a commander a powerful array of C2 and communications countermeasures that can dramatically increase shock effect, disorientation, and operational paralysis. By blinding the enemy and severing enemy command links, the joint force can drastically reduce an opponent's effectiveness.

2.5.2. Multinational Endeavors:

2.5.2.1. Unity of effort in multinational operations is gained through partnership and respect, simplicity and clarity of plan and statement, and teamwork. There is a high probability that any military operation the United States undertakes will have multinational aspects. We should always operate from a basis of partnership and mutual respect. This is similar to the relationship that prevails among the US Armed Forces, but the situation is more complex because the nature and composition of multinational partnerships may vary greatly from case to case.

2.5.2.2. Experience shows that simplicity and clarity of plan and statement are even more necessary in the combined and coalition environment than in US-only operations. To successfully project American military power, assistance with deployment, arrival, and en route support are critical requirements from our allies and friends. In all multinational endeavors, the teamwork of the US Armed Forces should set a strong example.

2.5.2.3. Although working together is more difficult in the international arena, operating from a smoothly coordinated, highly cooperative joint force perspective makes relations more productive and beneficial.

2.6. Characteristics of the Joint Campaign:

2.6.1. Campaigns represent the art of linking battles and engagements in an operational design to accomplish strategic or operational objectives (Figure 2.2). (Joint Pub 1-02, *DoD Dictionary of Military and Associated Terms*, defines a campaign plan as "a plan for a series of related military operations aimed to accomplish a common objective, normally within a given time and space.") Campaigns are conducted in theaters of war and subordinate theaters of operations; they are based on theater strategic estimates and resulting theater strategies.

2.6.1.1. Campaigns of the US Armed Forces are joint and serve as a unifying focus. Modern warfighting requires a common reference within which operations are integrated and harmonized—the joint campaign. The joint campaign is planned within the context of the modern theater environment—a complex setting where events, especially in a crisis, can move rapidly. This puts a premium on the ability of JFCs and their staffs and components to conduct campaign planning under severe time constraints and pressures. This ability, in turn, rests on the quality of peacetime planning and analysis by JFCs concerning their theater strategic situations and likely scenarios and courses of action.

2.6.1.2. The joint campaign supports national strategic goals and is heavily influenced by national military strategy. The role of the national-level military leadership is critical; the adjustment of national strategic focus and

Figure 2.2. The Joint Campaign.

Characteristics of the Joint Campaign:

- Serve as a unifying focus for the conduct of warfare.
- Is planned within the context of the theater environment.
- Supports national strategic goals and is influenced by national military strategy.
- Operational limits set by Logistics.
- Oriented on the enemy's strategic and operational COGs.
- Campaign plan based on the commander's concept, consisting of four parts:
  - Operational concept
  - Logistic concept
  - Deployment concept
  - Organizational concept
- Achieves sequenced and synchronized employment of all available land, sea, air, special operations, and space forces.

Supporting Capabilities of the Joint Campaign:

- Air and maritime superiority and space control.
- Forcible entry capability.
- Transportation.
- Direct attack of the enemy's strategic COGs.
- Special operations.
- Exploiting the informational differential.
- Sustained action on land.
- Leverage among friendly and enemy forces.

resource availability directly influences campaign design. Logistics sets the campaign's operational limits. The lead time needed to arrange logistics support and resolve logistics concerns requires continuous integration of logistic considerations into the joint operation planning process. This is especially critical when available planning time is short.

2.6.1.3. The joint campaign is oriented on the enemy's strategic and operational COGs. This requires planning for theater-level intelligence collection, integrating all sources of information into the focused intelligence required by the commander. The joint campaign plan is based on the commander's concept. The formulation of this concept is the intellectual core of the campaign plan, which presents a broad vision of the required aim or "end state" (the commander's intent) and how operations will be sequenced and synchronized to achieve conflict termination objectives (including required post-conflict measures). The commander's concept consists of four parts:

2.6.1.3.1. The operational concept itself (based on theater strategy) which is the scheme for the entire operation.

2.6.1.3.2. The logistic concept, which provides a broad picture of how the joint force as a whole will be supported. (The operational concept may stretch, but not break the logistic concept.)

2.6.1.3.3. The deployment concept (sequencing of operational capabilities and logistic support in the objective area).

2.6.1.3.4. The organizational concept (external and internal command relationships, and, if required, organization for deployment).

2.6.1.4. The joint campaign plan achieves sequenced and synchronized employment of all available land, sea, air, special operations, and space forces, and it orchestrates the employment of these forces in ways that capitalize on the synergistic effect of joint forces. The objective is the employment of overwhelming military force designed to wrest the initiative from opponents and defeat them in detail. A joint force, employed in its full dimensions, allows the commander a wide range of operational and tactical options that pose multiple and complex problems for the enemy.

2.7. Supporting Capabilities of the Joint Campaign:

2.7.1. Air and Maritime Superiority and Space Control. The joint campaign seeks to secure air and maritime superiority and space control (Figure 2.2). These are important for the effective projection of power. Joint campaigns rest upon certain foundations of the joint operational art. Foundations that are the key collective capabilities of the US Armed Forces to wage war include forcible entry, transportation, direct attack of the enemy's strategic COGs, special operations, exploitation of the information differential, sustained action on land, and leverage among the forces. The JFC chooses and applies the foundations needed to prosecute the campaign, as follows:

2.7.2. Forcible Entry. This capability is an important weapon in the arsenal of the JFC. The primary modes for such entry are amphibious, airborne, and air assault operations, which provide JFCs with great potential to achieve strategic and operational leverage. Even the threat of a powerful and flexible forcible entry capability can exert a compelling influence upon the plans and operations of an opponent.

2.7.3. Transportation:

2.7.3.1. This capability enables the joint campaign to begin and continue. The projection of power relies upon mobility supported by the defense transportation system. Transportation is a complex operation. It can best be served by a single, sound deployment concept that reflects en route and theater constraints and undergoes minimum rapid changes.

2.7.3.2. Experience has shown that the cooperation of all supporting combatant commands and Services is required to ensure the efficient coordination and execution of a major deployment. Furthermore, transportation requires control of the necessary communication lines. Without secure air, sea, space, and landlines of communication America cannot reliably move forces and materiel, reinforce forward-deployed forces, or sustain the campaign.

2.7.4. Direct Attack of the Enemy's Strategic COGs. This capability is an integral part of the joint theater campaign. COGs allow the enemy to continue fighting; attacking COGs puts the enemy on the defensive and at a disadvantage.

2.7.5. Special Operations. This capability affords a flexible and precise tool. In certain types of campaigns (for instance, those devoted to assisting in the internal defense of a foreign ally against an insurgency), special operations may assume a leading role. In all campaigns, JFCs should be alert to integrate special operations capabilities. Special operations can greatly complicate the enemy's defensive plans, pose threats in widely dispersed areas, achieve deep penetration of enemy territory, and provide unique capabilities for certain high-leverage missions not achievable by other means.

2.7.6. Exploiting the Information Differential. The joint campaign should fully exploit the information differential; that is, the superior access to, and ability to effectively employ, information. Space power is crucial, but does not operate alone, in assisting the joint force to enjoy superiority in C2, communications, intelligence, navigation, and information processing. Weather, mapping, charting, geodesy, oceanography, and terrain analysis are all areas where the joint force should achieve significant advantages.

2.7.7. Sustained Action on Land. Sustained action on land, the capability provided by land power, is often a key capability of the joint campaign. Based on the objectives and nature of the campaign, many joint operations elements may be directed at enabling land power to be projected and directed against the foe. The ability to establish ground presence, postured to conduct prompt and sustained operations, can be fundamental to achieving the joint campaign's objectives.

2.7.8. Leverage Among the Forces:

2.7.8.1. Leverage among the forces is the centerpiece of joint operational art. Force interactions can be described with respect to friendly forces and enemy forces. Friendly relationships may be characterized as supported or supporting. Supporting forces exploit the full capabilities of the joint force. Air power provides close air support or tactical airlift to ground forces. Ground forces seize or protect naval bases or shipping choke points. Sealift moves heavy combat forces and sustainment to the theater. JFCs obtain leverage from the interaction of joint forces employing complementary capabilities.

2.7.8.2. JFCs further exploit this leverage through asymmetric attacks. Engagements with the enemy may be thought of as symmetric if forces are similar (land versus land, etc.). Conversely, they may be thought of as asymmetric if the forces are dissimilar (air versus sea, etc.). Asymmetric methods provide ways to attack or create enemy weaknesses. For example, an enemy land force must not only defend against land attack, but must also expend resources and energy to defend against air and sea attacks. Supported and supporting forces employing symmetric and asymmetric methods provide JFCs numerous options for employing friendly strengths against enemy weaknesses to produce more effective and efficient solutions to combat problems.

2.8. Synergy of the Joint Campaign:

2.8.1. Synergy results when the elements of the joint force are so effectively employed that their total military impact exceeds the sum of their individual contributions. Synergy is reinforced when operations are integrated and extended throughout the theater, including rear areas.

2.8.2. The full dimensional joint campaign is in "nonlinear" major respects. That is, the dominant effects of air, sea, space, and special operations may be felt more or less independently of the front line of ground troops. The impact of these operations on land battles, interacting with the modern dynamics of land combat itself, helps obtain the required fluidity, breadth, and depth of operations.

Section 2C—Joint Air Operations

2.9. Introduction. It is imperative for all Air Force members to understand the way in which the Air Force most effectively employs aerospace assets. The information here builds on information presented in Chapter 1, Expeditionary Aerospace Force (EAF), of AFPAM 36-2241, Volume 1. A thorough understanding of EAF principles is necessary prior to understanding the following topics. Topics include: the role of the Commander, Air Force Forces (COMAFFOR), the nature

of joint air operations, the joint force air component commander's (JFACC) role and responsibilities, the component liaisons, planning for joint air operations, and fundamental principles and doctrine for the C2 of joint air operations.

2.10. COMAFFOR Responsibilities:

2.10.1. The COMAFFOR should prepare and execute an aerospace operation that was planned and developed by airmen working from the same "sheet of music" (baseline) towards a clearly understood objective. Every airman should have a thorough understanding of aerospace capabilities, mission requirements, and theater limitations. With this knowledge, the COMAFFOR will be able to successfully develop and execute a comprehensive joint aerospace operations plan.

2.10.2. The COMAFFOR is in the unique position to employ the forces organized, trained, and equipped for both prompt and sustained operations involving aerospace power. All airmen should understand Air Force functions as directed by DoD Directive 5100.1, *Functions of the Department of Defense and Its Major Components*, and expanded in AFDDs 1 and 2. These include providing organized, trained, and equipped forces to execute the functions of counterair; counterspace; counterland; countersea; strategic attack; counterinformation; C2; airlift; air refueling; spacelift; special operations employment; intelligence, surveillance, and reconnaissance; combat search and rescue; navigation and positioning; and weather services. See Chapter 1 for information on these functions.

2.10.3. The Air Force executes these functions through core competencies; that is, aerospace superiority, precision engagement, information superiority, global attack, rapid global mobility, and agile combat support. The COMAFFOR employs the functions to provide aerospace power to a combatant commander. Airmen must work for airmen. Military leaders are quick to point out that the ability to correctly employ forces comes through years of training and experience.

2.10.4. The COMAFFOR is the senior Air Force officer who presents Air Force forces to the CINC or JFC. If the COMAFFOR is also the JFACC, he or she does not work for the joint forces land component commander or multiple corps commanders. The COMAFFOR or JFACC works for the JFC. If the COMAFFOR is not designated as the JFACC, he or she works with the JFACC, who assumes tactical control of the COMAFFOR's assigned and attached forces as directed by the JFC.

2.10.5. An airman can be the geographic commander, joint commander, or combined forces air component commander (CFACC). When the response is "air dominant," the combined or JFC and CFACC should be an airman; for example, the combined Operation Northern Watch and Operation Atlas Response.

2.11. Nature of Joint Air Operations. Operational level relationships, policies, and procedures provide C2 principles and options through the designation of a JFACC or JFC's staff at the unified command level, subordinate unified command level, or joint task force (JTF) level.

2.11.1. Performing Joint Air Operations. These are performed with air capabilities or forces supporting JFC's operation or campaign objectives or in support of other joint force components. Joint air operations do not include those air operations conducted by a component in direct support of itself. The JFC integrates the actions of assigned, attached, and supporting forces into a unified area of responsibility (AOR) joint operations area (JOA)-wide joint air operations. In order to create synergism and avoid duplication of effort, the JFC synchronizes the actions of assigned, attached, and supporting capabilities forces in time, space, and purpose. He or she must exploit the unique characteristics of all capabilities forces as rapidly and as effectively as possible.

2.11.2. Organizing Joint Forces:

2.11.2.1. In order to accomplish the assigned mission, the JFC develops a concept of operation and organizes forces based on that concept. The organization should be sufficiently flexible to meet the planned phases of the contemplated operations and any development that may necessitate a change in the plan, while preserving the responsiveness of individual component capabilities. Sound organization should also provide for unity of effort, centralized planning, and decentralized execution.

2.11.2.2. Most often, joint forces are organized with a combination of Service and functional component commands, and their authority and responsibilities are defined by the JFC. The JFACC is an example of a functional component commander. The JFC will normally designate a JFACC to exploit the capabilities of joint air operations through a cohesive joint air operations plan (centralized planning) and a responsive and integrated control system (decentralized execution).

2.11.2.3. If a joint air tasking order (ATO) is published, a JFACC with the authority to plan and execute it is required. The need for a JFACC is based on the JFC's overall mission, concept of operations, missions and tasks assigned to subordinate commanders, forces available, duration and nature of joint air operations desired, and the degree of unity of C2 of joint air operations required. The JFACC should come from the component with the preponderance of aerospace assets and the requisite ability

to command and control these assets. The JFACC may not be an Air Force officer, but must be air minded and skilled in the application of aerospace power. ***NOTE:*** Designation of a JFACC may not be required when a conflict or situation is of limited duration, scope, and/or complexity.

2.11.2.4. When conducting joint operations, it is necessary to coordinate the use and defense of the airspace itself to avoid fratricide and ensure protection of friendly forces. The airspace control authority (ACA) develops, coordinates, and publishes airspace control procedures for operating in the JOA. The procedures should coordinate and deconflict the activities of all users of the airspace. The area air defense coordinator (AADC) is responsible for integrating the joint force air defense effort. The functions and responsibilities of the JFACC, ACA, and AADC must be integrated in order to unite joint air operations with joint airspace control and joint air defense operations in support of the JFCs campaign. (These responsibilities are normally assigned to one individual.)

2.11.2.5. The JFACC requires theater-wide access. JP 3-09, *Doctrine for Joint Fire Support*, states, "The JFC establishes priorities that will be executed throughout the theater and/or joint operational area (JOA) including within the land and naval force commanders' AOs. In coordination with land and/or naval force commander, those commanders designated by the JFC to execute theater and/or JOA-wide functions have the latitude to plan and execute these JFC prioritized operations and attack targets within land and naval AOs." When a JFACC is not designated, the JFC may plan, direct, and control joint air operations.

2.11.3. Military Operations Other Than War (MOOTW). Unity of effort, centralized planning, and decentralized execution are as important in MOOTW as in war. Strategies, objectives, COGs, targets, and adversaries apply in MOOTW as well as in war, but may require an expanded perspective to identify them. By taking this into consideration, the JFC can effectively apply the joint doctrine for C2 of joint air operations in myriad, divergent situations.

2.12. Joint Air Operations C2:

2.12.1. Air Effort Available for Joint Air Operations:

2.12.1.1. Component commanders make air capabilities or forces available to the JFC for tasking to support the joint force as a whole based on assigned component missions and JFC guidance. These capabilities or forces are tasked directly by the JFC or by the JFACC, based on the JFC's air apportionment decision. Only the JFC has the authority to reassign, redirect, or reallocate a component's direct support air capabilities or forces. When a component does not have the organic air capabilities or forces to support their assigned mission, the JFACC or JFC will task available joint air capabilities (through the joint ATO) based on the JFC's air apportionment decision.

2.12.1.2. Component direct support air capabilities or forces are defined as those air capabilities or forces organic to a component that are used by the component to accomplish its assigned mission. When appropriate, they appear on the joint ATO for coordination and deconfliction purposes. Component capabilities or forces not available for joint air tasking must still comply with the airspace control order (ACO) and special instructions (SPINS).

2.12.2. JFACC Authority and Command Relationships. JFACC authority and command relationships are established by the JFC. These typically include exercising operational control (OPCON) over assigned and attached forces and tactical control (TACON) over other military capabilities or forces made available for tasking. The JFC may also establish supporting and supported relationships between components to facilitate operations. The JFC normally assigns missions and issues mission-type orders to all components.

2.12.3. JFACC Responsibilities Assigned by the JFC:

2.12.3.1. These responsibilities include, but are not limited to planning, coordinating, allocating, and tasking joint air operations based on the JFC's concept of operations and air apportionment decision. ACA and AADC functions and responsibilities include developing, coordinating, and publishing airspace control procedures, operating the airspace control system, and integrating the joint force air defense effort.

2.12.3.2. Depending on the environment, mission, and location, the degree of control may need to be more rigorous and the rules of engagement may need to be more restrictive. This is especially true in a MOOTW environment, which can transition quickly from combat to noncombat and back again and often has constraints on the forces, weapons, tactics employed, and level of violence. Consequently, as a minimum, in MOOTW environments prone to such fluctuations, all air missions, including fixed- and rotary-wing of all components, must appear on the appropriate ATO and/or flight plan. In addition, all aircraft must monitor a common frequency and operate on designated identification friend or foe (IFF) modes and codes, which must be appropriately checked prior to mission start.

2.12.3.3. In cases of high-density aircraft operations (such as in a properly designated high-density airspace control zone or amphibious objective area published on the

ACO), aircraft may operate without an ATO mission number. This type of rigorous control is necessary during such MOOTW because the mix of friendly, enemy, and neutral aircraft and mission constraints requires the JFC to strictly control flights in the AOR or JOA (for example, peace operations). No matter what methods the JFC chooses, they need to be continually evaluated for effectiveness and efficiency as the environment and mission change.

2.12.4. JFACC Organization. The JFACC's joint air operations center (JAOC) is structured to operate as a fully integrated facility and is staffed to fulfill all of the JFACC's responsibilities. The two organizations or functions, which should be common to all JAOCs, are combat plans (future joint air operations) and combat operations (execution of the daily joint ATO). The role of intelligence is also extremely important and is an integral part of the daily function of combat plans and combat operations.

2.12.5. Component Liaisons. Senior component liaisons serve as conduits for direct coordination between the JFACC and their respective component commanders. Coordination elements provide liaison elements that work within the JAOC, consisting of specialists who provide component planning and tasking expertise and coordination capabilities. These specialists help integrate and coordinate their component's participation and coordinate and deconflict component direct support air operations. Functional area and mission experts provide the critical and unique expertise in support, plans, and execution functions, as appropriate for the employment scenario. Component liaisons include:

2.12.5.1. Air Force Liaison Element (AFLE). The AFLE provides an interface between the COMAFFOR and JFACC for coordinating and synchronizing Air Force units in support of joint air operations.

2.12.5.2. Air Mobility Element (AME). The AME is responsible for planning and coordinating all theater strategic airlift operations. The AME is part of the theater airlift system and should be collocated within the JAOC.

2.12.5.3. Battlefield Coordination Element (BCE). The Army component commander establishes a BCE to act as the interface between the component commander and the JFACC or Air Force component commander. The BCE processes land force requests for air support, monitors and interprets the land battle situation for the JAOC, and provides the necessary interface for the exchange of current operational and intelligence data.

2.12.5.4. Naval and Amphibious Liaison Element (NALE). The NALE is responsive to the JAOC on matters pertaining to Navy and Marine amphibious operations. The NALE processes Navy force and Marine landing force requests for air support and monitors and interprets the maritime battle situation for the JAOC.

2.12.5.5. Space Liaison Officer (SLO) US Space Command (USSPACECOM). USSPACECOM component personnel deploy to assist the JFACC or JFC staff in requesting and using support from space assets. The senior SLO also serves as the senior space liaison to the JAOC, providing coordination between the JAOC and USSPACECOM theater support team.

2.12.5.6. Special Operations Liaison Element (SOLE). The joint force special operations component commander (JFSOCC) provides a SOLE to the JFACC or JFC staff or appropriate Service component air command and control facility to coordinate and synchronize special operations forces (SOF) air and surface operations with joint operations.

2.12.5.7. Strategic Liaison Team (STRATLAT). The STRATLAT provides a small number of advisors for the JFC and JFACC skilled in nuclear planning and coordination. At the JFC's request, the STRATLAT is provided by the United States Strategic Command (USSTRATCOM), and it reports and is collocated with the JFC and/or appropriate component commanders.

2.13. Planning for Joint Air Operations:

2.13.1. The JFC's strategic appreciation of the political, economic, military, and social forces affecting the AOR or JOA and the articulation of strategic and operational objectives needed to accomplish the mission form the basis for determining component objectives.

2.13.2. A selected team of planners and weapon systems experts from each component enables consideration and understanding of all component capabilities or forces. This team uses operational environment research to determine objectives, identify strategy, and identify COG (enemy to attack and friendly to avoid) as part of the overall planning process.

2.13.3. Joint air operations plan development details how joint air operations will support the JFC's operation or campaign plan. During this phase, planners integrate the efforts of joint capabilities or forces, prioritize objectives and targets while accounting for current and potential threats, and conduct target development or system analysis. Planners also phase joint air operations with the JFC's operation or campaign plan, indicating what capabilities or forces will be required to achieve joint air operations objectives. Finally, planners complete a sustainability assessment and delineate specific procedures for allocating, tasking, and exercising C2 of available air capabilities or forces.

2.14. Targeting and Tasking Cycles for Joint Air Operations. Targeting occurs and is performed at all levels of command. An effective and efficient target development process and air tasking cycle is essential for the JFACC/JFC staff to plan and execute joint air operations.

2.14.1. Targeting Cycle. The targeting cycle begins with objectives and guidance issued by the JFC and includes target development, weaponeering assessment, force application, execution planning or force execution, and combat assessment. Synchronization, integration, deconfliction, allocation of air capabilities or forces, and matching appropriate weapons against target vulnerabilities are essential targeting functions of the JFACC. Components should provide the JFACC with a description of their direct support plan to allow for coordination and deconfliction of targeting efforts between each component and within the JFC staff and agencies.

2.14.2. Air Tasking Cycle. The joint air tasking cycle provides a repetitive process for planning, coordinating, allocating, and tasking of joint air missions or sorties, and it accommodates changing tactical situations or JFC guidance as well as requests for support from other component commanders. The full joint ATO cycle from JFC guidance to the start of ATO execution is dependent on the JFC's procedures, but each ATO period usually covers a 24-hour period. The joint ATO matches specific targets compiled by the JFACC or JFC staff with the capabilities or forces made available to the JFACC for the given joint ATO day. Air tasking cycle phases are as follows:

2.14.2.1. Phase 1, JFC and Component Coordination. The JFC consults with component commanders to assess the results of the warfighting effort. This provides component commanders with an opportunity to introduce recommendations, support requirements, and state their ability to support other components. The JFC will normally apportion the air effort by priority or percentage of effort into geographic areas, against mission-type orders, and/or by categories significant for the campaign.

2.14.2.2. Phase 2, Target Development. The specific objectives received during phase 1 are used to focus target development. In accordance with JFC's objectives and component targeting requirements, the JFACC or JFC staff develops the joint air operations plan to employ available joint air capabilities or forces. The end product is a prioritized list of targets called the Joint Integrated Prioritized Target List.

2.14.2.3. Phase 3, Weaponeering/Allocation. Targeting personnel quantify the expected results of lethal and nonlethal weapons employment against prioritized targets including recommended aim points, target identification and description, and other pertinent information. The final prioritized target nominations are then included into the master air attack plan (MAAP). The resulting MAAP is the employment plan that forms the foundation of the joint ATO. Following the JFC air apportionment decision, the JFACC or JFC staff translates that decision into total number of sorties by aircraft or weapon type available for each operation or task they support.

2.14.2.4. Phase 4, Joint ATO Development. After the MAAP is approved by the JFACC (or JFC under the JFC staff option), detailed preparations continue by the combat plans section on the joint ATO, SPINS, and ACO. The JAOC reviews each air capable component's allocation decision air or allocation request message and may prepare a sortie allotment message back to the components as required.

2.14.2.5. Phase 5, Force Execution. The JFACC/JFC staff directs the execution and/or deconflicts all capabilities or forces made available for a given ATO. The JFC may give the JFACC the authority to redirect joint air operations.

2.14.2.6. Phase 6, Combat Assessment. Combat assessment is done at all levels of the joint force and evaluates combat operations effectiveness in achieving command objectives. The successful integration of the joint air effort depends on the ability to exchange information via reliable secure communications with the JFC, joint force staff, and component commanders. Planning for all information exchange requirements and procedures must consider emission control requirements and operations security.

Section 2D--The Persian Gulf Crisis—An Example of a Joint Operation

2.15. Overview. The Persian Gulf crisis and conflict of 1990 - 1991 illustrates and summarizes the concepts presented in this chapter and serves as an excellent example of a joint and multinational campaign. The purpose for the US Armed Forces demands unity in effort. Operations during the Gulf War reflected this concept.

> *Winning our wars is the fundamental philosophical basis for anyone's military service to the country. I fought DESERT STORM based on this premise. I told my commanders and my staff, we are all serving a unified command.*
>
> Gen H. Norman Schwarzkopf, USA

2.16. Impact of the Modern Environment:

2.16.1. The Persian Gulf conflict demonstrated the impact

of the modern environment. The US projected significant military power to a theater on the opposite side of the world under difficult and varied geographic and climatic conditions. This first post-Cold War crisis was fast paced and complex, confronting threats ranging from terrorism to very large conventional forces to weapons of mass destruction.

2.16.2. Technology played a major role, yet the outcome resulted above all else from the superb morale and professionalism of people—the American fighting men and women and civilians who participated in and supported the effort as well as coalition partners from many different nations.

2.16.3. Finally, joint doctrine helped American forces cope with the inevitable frictions of operations, providing the US Central Command (USCENTCOM) and the supporting combatant commands with a commonly understood doctrinal baseline that made development of teamwork and joint planning easier.

2.17. Unity of Effort:

2.17.1. At the strategic level, early and unambiguous aims and objectives fostered unity of effort. Three days after Iraq's occupation of Kuwait, the President established the basic national policy goals and national security strategy that governed operations. Coalition partners agreed with these goals, which never changed. National military strategy then focused military power, both to shield the remainder of the Persian Gulf region from further aggression and to support the economic component of national security strategy with the maritime intercept of Iraq's seaborne trade.

2.17.2. When the international community could not convince Iraq to withdraw from Kuwait, the defensive orientation of America's national security policy and military strategy became offensive, again providing combatant commands and Services a framework for unity of effort. In the theater of operations, this framework enabled concentration of force, numerically and in quality.

2.17.3. Finally, we wrested the strategic initiative from the enemy and preserved the freedom of action. A combination of diplomatic, economic, informational, and military components of national security strategy built a strong coalition, enforced United Nations sanctions, and shielded the coalition's military buildup from attack. This buildup, in turn, allowed the initiative to be gained and maintained during subsequent offensive operations.

2.18. Strategic Agility. Deployment of American military power demonstrated strategic agility. The largest deployment of US forces since the Normandy invasion moved the equivalent of Oklahoma City halfway around the world in a few months and sustained those forces throughout their employment. The thrust of operations was as simple as possible. Plans and orders emphasized clear expression, especially in view of the inherent complexities of coalition operations.

2.19. Identification of COGs. The concept of COGs established a clear focus for operations and intelligence requirements. At both the strategic and operational levels, enemy COGs were identified, analyzed, and confirmed and served as the basis for devising both national military and theater strategies.

2.20. Liaison Parties and Teams:

2.20.1. In the realm of command, ample and effective liaison parties and teams served to keep communications constant and effective.

2.20.2. US Marine Forces Central Command (MARCENT) had liaison teams with US Air Forces Central Command (CENTAF), including all seven CENTAF airborne command aircraft, as well as the US Army Forces Central Command (ARCENT), US Naval Forces Central Command (NAVCENT), and the major coalition commands (USCENTCOM components included ARCENT, NAVCENT, CENTAF, and MARCENT.) The USCENTCOM special operations command had numerous liaison teams with coalition military forces, which played major roles in coordinating fire support and other aspects of military operations. ARCENT sent out several very large liaison teams, including teams to both major coalition groups of land forces.

2.20.3. This partial listing of liaison activities was in addition to the "normal" liaison extended among and between the armed forces (for example, Air Naval Gunfire Liaison Company teams, Air Force tactical air control parties, Army ground liaison teams to the Air Force, and Navy liaison to the Air Force). In short, liaison teams played an important and effective role in reducing the frictions associated with a large and complex collection of forces.

2.21. Joint Operational Art. The Operation Desert Storm offensive campaign illustrated the richness of the joint operational art. The Commander's concept, directed at the accomplishment of strategic objectives and oriented on the enemy's COGs, unified campaign planning. This concept drove the sequenced and synchronized employment of all available land, sea, air, space, and special operations forces as follows:

2.21.1. Air, land, and sea power meant that secure communications lines were available to deploy (unchallenged) 6 1/2 million tons of equipment and

supplies, and 1/2 million men and women into airports and seaports a scant 100 miles from the enemy forces, while Iraq was isolated from foreign support and resupply.

2.21.2. Nearly 6 weeks' application of air power began on the night of 17 January 1991. The first shots of the war were sea-launched Tomahawk cruise missiles. Apache attack helicopters, working in concert with special operations aviation, helped disrupt the enemy air defense network. Special operations forces also reinforced the air offensive with direct action. These operations helped pave the way for coalition and US air strike packages of unprecedented complexity and lethality, ranging over enormous distances and orchestrated with split second timing and precision.

2.21.3. As a first order of business, the campaign fought for and gained air and maritime superiority as preconditions for further operations. The joint air offensive directly attacked the enemy's strategic COGs from the outset of the war to its conclusion. Throughout the war, operations were extended throughout the enemy's territory, denying sanctuary or pause for recovery. Operations were supported by air attacks from the US European Command area of operations (including Joint Task Force Proven Force from the enemy's north) and ship- and submarine-launched cruise missiles (from the enemy's west).

2.21.4. As air and maritime operations continued, they were sequenced and timed to lead to the air-land-sea culmination of the campaign. The presence of powerful coalition land forces helped pin down enemy formations prior to the ground offensive as did the leverage exerted on the enemy's seaward flank by US amphibious forces. Moreover, air operations and the deception plan blended to cover the preparation of the ground offensive, enabling large-scale shifts of troops and supplies to occur undetected. All this was done under the umbrella of joint space power, orchestrated by the USSPACECOM, which helped provide intelligence, communications, friendly position tracking, early warning, and other capabilities. The joint special operations forces helped prepare the ground battlefield and reinforced and assisted coalition partners.

2.21.5. Finally, USCENTCOM launched sustained operations on land. ARCENT and coalition heavy, airborne, and air assault ground units and MARCENT forces on the littoral (seashore) flank breached enemy fortifications and struck deep into enemy territory. Supporting these attacks were naval gunfire and an extraordinary focused application of air power. The joint campaign culminated in one of the swiftest ground offensives in history.

2.22. Teamwork. The full range of supporting relationships, the exploitation of the asymmetries available to the joint force, and the denial of these advantages to the enemy made Operation Desert Storm a triumph of the joint operational art. But perhaps the most striking feature of this campaign was the high degree of teamwork—building on the basic values of American military service—achieved by CINC, USCENTCOM, and his component commanders. Indeed there was a "team of teams." The cohesion and efficiency in the components were blended into a higher order of trust and confidence, providing a splendid example of the joint warfare of the US Armed Forces.

2.23. Conclusion:

2.23.1. US Armed Forces must always be ready to operate in smoothly functioning joint teams. Successful unified action across the range of military operations depends on unity of effort among all assigned, attached, and supporting forces. The JFC should exploit the unique characteristics of forces that maximize the military effect to achieve strategic aims as rapidly as possible, while saving lives, minimizing costs, and achieving victory. The JFC normally designates a JFACC to integrate and exploit the joint airpower capabilities of different nations, Services, and components.

2.23.2. Attitude is the key to the most productive integration of all supporting capabilities and to the joint campaign as a whole. In years past, the sea was a barrier to the soldier and a highway to the sailor, but the different mediums of air, land, sea, and space were alien to one another. To the joint team, all forms of combat power present advantages for exploitation.

Chapter 3

SENIOR NONCOMMISSIONED OFFICER (SNCO) PROMOTION PROGRAM

3.1. Overview:

3.1.1. Promotion to senior master sergeant (SMSgt) and chief master sergeant (CMSgt) is extremely competitive. Public law limits the top two enlisted grades to 3 percent of the enlisted end strength, not to exceed 1 percent for the grade of CMSgt. Thus, competition for the limited quota is tough, and relatively few people can be promoted to the top two enlisted grades. The difference between being selected for promotion and being "passed over" depends on ensuring your selection folder is accurate, you have the correct study materials, and you are ready to test.

3.1.2. The SNCO Promotion Program has changed very little over the years. It has proved to be a valid, reliable, and fair method of selecting our most deserving individuals for promotion to SMSgt and CMSgt. It is similar to the Weighted Airman Promotion System in its objective criteria (examination, enlisted performance reports [EPR], time in grade, time in service, and decorations points), but the similarities end when the promotion evaluation board is included. The promotion evaluation board goes through a complex process, using the whole-person concept to rate promotion eligible MSgts and SMSgts.

3.1.3. This chapter begins by describing the individual's responsibilities prior to the promotion cycle. It describes the evaluation board composition, the promotion criteria the board considers, and the process the board uses to evaluate promotion records. Finally, it highlights supplemental promotion actions.

3.2. Individual Responsibility:

3.2.1. The importance of individual responsibility cannot be overemphasized. It is each individual's responsibility to ensure he or she is properly identified as an eligible. (See Table 2.1 in AFI 36-2502, *Airman Promotion Program,* for minimum eligibility requirements for promotion.) Eligibles should have the current study reference materials, know when the testing cycle starts, study and test when scheduled, and ensure the information in their selection folder at Headquarters Air Force Personnel Center (HQ AFPC) is accurate and complete.

3.2.2. Eligibles for promotion to SMSgt or CMSgt should receive a data verification record (DVR) (Figure 3.1) in the form of a report on individual personnel (RIP). The DVR displays current career information as of the promotion eligibility cutoff date (PECD), some of which is included in the Senior NCO Evaluation Brief (Figure 3.2), reviewed by the evaluation board.

3.2.3. Along with reviewing the DVR, eligibles should review their AF Form 10, **Unit Personnel Record Group,** and senior NCO selection folder to ensure data is accurate and appropriate documents are filed. Eligibles should notify their military personnel flight (MPF) of any errors. A copy of the SNCO selection folder may be obtained from HQ AFPC by written request.

3.3. Promotion Criteria:

3.3.1. Table 3.1 in this volume shows how to calculate weighted factors for SMSgt and CMSgt promotions. Table 14.2 in AFPAM 36-2241, Volume 1, shows the minimum eligibility requirements for promotion to SMSgt and CMSgt. Remember, withdrawal of an approved retirement or approval to remove a permanent change of station (PCS) declination statement does not make an individual eligible for promotion consideration, unless HQ AFPC approves the withdrawal before the applicable PECD.

3.3.2. Persons being considered for promotion to CMSgt will compete for promotion in the chief enlisted manager (CEM) code of the control Air Force specialty code (CAFSC) they hold as of the PECD. Personnel being considered for promotion to SMSgt will compete for promotion in the superintendent level of the CAFSC they held as of the PECD.

3.3.3. Academic education completed on or before the PECD is considered. Up to three academic education levels can be reflected on the Senior NCO evaluation brief. When the academic education level is updated in the Personnel Data System (PDS), the promotion file will be updated and a new DVR and evaluation brief produced to reflect the change. If Community College of the Air Force (CCAF) requirements were completed prior to PECD, but the CCAF evaluation was completed within 30 days of the board convening date, the education services flight will update the PDS and notify HQ AFPC by message with an information copy to the individual's MPF. This information will then be used to post the senior NCO evaluation brief filed in the senior NCO selection folder.

Figure 3.1. Senior NCO Promotion Data Verification Record (DVR).

SENIOR NCO PROMOTION DATA VERIFICATION RECORD

WEIGHABLE FOR CYCLE 00E9

ELIGIBILITY CUTOFF DATE IS: 31 JUL00

SMS CREVISTON PETER B SSAN: 123456789
RJ09F7JH AF PERSONNEL CTR FO

PROJ PAS: RNLTD:
OL DPPO OFF-SYM: DPPPWM

DATE OF RANK: 01FEB98

TAFMSD: 12DEC78

PROJ RET/SEP DATE:

RETIREMENT REASON:

HIGH YEAR OF TENURE: DEC 04

PAFSC:

CAFSC: 3S090

PROM TO AFSC: 3S0X0

DAFSC: 3S090

DUTY TITLE:
CH, PROMOTION MANAGEMENT SEC

EPR RATING AND CLOSE DATES

5B 09JUL00	5B 09JUL99	B 09JUL98
5B 15JUL97	B 15SEP96	B 15SEP95

PROFESSIONAL MILITARY EDUCATION
TYPE

USAF SENIOR NCO ACADEMY
NCO ACADEMY

DECORATIONS

TYPE AWARD	NUMBER
MERIT SVC MEDAL	01
AF COMM MEDAL	05
AF ACHVMT MDL	02

ASG LEVEL: HAFF

ACADEMIC EDUCATION

	LEVEL		SPECIALTY
HIGHEST	BAC	AWD BACHELORS DEGREE	EDUC, PHYSICAL EDUCATION
2ND HIGH:	ONE		N/A
3RD HIGH:	ONE		N/A

CONDITIONS CAUSING THIS RECORD TO BE NONWEIGHABLE:

THE INFORMATION REFLECTED ON THIS DVR WILL BE USED IN THE PROMOTION PROCESS FOR THE CYCLE INDICATED. REVIEW THIS DATA IN DETAIL, ESPECIALLY YOUR DECORATIONS, PME AND EDUCATION DATA AND RETAIN FOR YOUR PERSONAL RECORDS. INFORMATION REFLECTED IS AS OF THE PROMOTION ELIGIBILITY CUT-OFF DATE (PECD), EXCEPT A PROJECTED RETIREMENT DATE WILL CONTINUE TO BE UPDATED UNTIL THE ACTUAL PROMOTION BRIEF IS PRODUCED (ABOUT 30-45 DAYS PRIOR TO THE BOARD). FOR THE WEIGHTED PROTION OF YOUR SCORE, ONLY PERFORMANCE REPROTS FOR 5 YEARS (MAX OF 10) THAT CLOSEOUT ON OR BEFORE PECD ARE USED. THE EVALUTATION BOARD REVIEWS ALL REPORTS CLOSING OUT UP TO 10 YEARS PRIOR TO PECD. ANY ADDITIONAL REPORTS ARE LISTED FOR INFORMATION ONLY. IF YOU DETECT ANY ERRORS, ARE LISTED AS 'NONWEIGHABLE', OR HAVE ANY QUESTIONS, CONTACT YOUR CUSTOMER SERVICE CENTER OR PERSONNEL REPRESENTATIVE IMMEDIATELY. YOUR PERSONAL INVOLVEMENT IS A MUST - - IT'S YOUR PROMOTION!

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Figure 3.2. Senior NCO Evaluation Brief.

SENIOR NCO EVALUATION BRIEF

BRD NR: 07440.00 CYCLE: 00E8

NAME: SNEED, RONALD SSAN: 123456789

******** AFSC DATA ********

CONTROL AFSC 1N372A
PROMOTION AFSC: 1N3X0

******** GRADE DATA ********

GRADE: MSG
DOR: 01 NOV 1995

********** SERVICE DATA **********

TAFMSD: 01 JUL 1980
HIGH YEAR OF TENURE: 01 JUL 2004
PROJ RET DATE:
RET REASON:

********** DUTY DATA **********

DAFSC: X1N372A DUTY TITLE: CHIEF, SPECIAL OPS SUPPORT
DUTY LEVEL: HAFP UNIT: 0067 OPERATIONS SUPPORT SQ
KELLY AFB TX

********** SENIOR NCO ACADEMY **********

SNCOA COMPLETED: YES

********** ACADEMIC EDUCATION **********

LEVEL	SPECIALTY
BACHELOR'S DEGREE	COMM APPLIC TECHNOLOGY
ASSOCIATE DEGREE	COMM APPLIC TECHNOLOGY
ASSOCIATE DEGREE	HUMAN RESOURCES

********** DECORATIONS **********

TYPE	NBR	CLOSE DATE	REASON
AIR MEDAL	1	06 JUL 1989	ACH
AIR ACHV MDL	1	23 JUN 1991	ACH
AF COMM MED	2	01 JUL 1997	PCS
AF ACHIEV MED	2	17 SEP 1995	ACH
MERIT SERV MED	1	01 AUG 2000	PCS

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3.3.4. The PECD is used to determine content of the selection folder and information on promotion evaluation briefs. The number of EPRs included is limited to those reports closed out 10 years prior to the PECD. However, only the last 5 years (maximum of 10 EPRs) are used to compute the EPR weighted factor score. Approved decorations, resubmissions, or decorations being upgraded must be submitted and included in the selection folder before the selection board convenes. The data shown on the Senior NCO evaluation brief includes member's name, social security number, grade, date of rank, Air Force specialty information, service dates (to include projected retirement date), academic education level, decorations, duty information, and professional military education (PME).

3.4. Evaluation Board. The evaluation board is very important because it accounts for over half the total score. Understanding how board members are selected, the evaluation board process, and those areas considered by board members can provide valuable insight into what it takes to get promoted.

3.4.1. Selection of Board Members. The number of eligible personnel identified by MAJCOM and Air Force specialty codes (AFSC) determines the number and career field backgrounds of the board members. Board members are divided into panels, each consisting of one colonel and two CMSgts. The board president is always a general officer. Prior to evaluating records, board members are briefed on the task objective, eligible population profile, and selection folder content. Board members are then sworn to complete its task without prejudice or partiality. They also participate in an extensive trial-run process to ensure scoring consistency prior to evaluating any "live" records.

3.4.2. Areas the Board Considers. The board looks at performance, education, breadth of experience, job responsibility, professional competence, specific achievements, and leadership. In each area, the individual has control over the information the board reviews. Individuals, not board members, are responsible for promotions.

3.4.2.1. Performance. The evaluation board reviews all EPRs for the 10 years preceding the PECD. The board members consider all aspects of the EPR—job description (key duties, tasks and responsibilities), individual rating factors, periods of supervision, overall evaluations, levels of endorsements, and each narrative word picture. If the person is a strong performer, the EPRs should convey to the board that he or she has demonstrated the highest qualities required of a leader and manager.

3.4.2.2. Education. Although the Air Force does not require enlisted members to have any education beyond high school, many enlisted members are pursuing secondary education. When considering educational opportunities, enlisted members should focus on a degree program that complements their career field and enhances their ability to do their job. When the board evaluates academic education as part of the whole-person assessment, the most important consideration should be the degree to which the education enhances the NCO's potential to serve in the next higher grade.

3.4.2.3. Breadth of Experience. This factor refers to the individual's overall professional background, experience, and knowledge gained during his or her career to date. Board members consider knowledge and practical experience in areas other than the current AFSC. If the eligible remained in one career field, board members consider whether the person had wide exposure across the career field. Board members also consider potential to fill other types of jobs as well as supervisory and managerial experience.

3.4.2.4. Job Responsibility. This factor does not refer entirely to the career field's command level positions, although experience at this level is a consideration. Many base-level jobs demand just as much of an individual as jobs at higher command levels. Consideration is primarily given to what was asked of the individual and how well the task was accomplished. Did the job require significant decisions, or was it a job in which the person routinely carried out the decisions of others? Is the person a proven, effective manager, responsible for directing the work of others, or is the person responsible only for his or her own performance?

3.4.2.5. Professional Competence. What do rating and endorsing officials say about the individual's expertise? Is it truly outstanding? How much does the individual know about the job, and how well does he or she accomplish it? The Air Force Chief of Staff has emphasized the need for careful selection of individuals for promotion to the top two NCO grades. Therefore, it is imperative that those selected be the best qualified. They must have sufficient leadership and managerial experience to prepare them for the challenges they, and the Air Force, will face.

3.4.2.6. Specific Achievements. These are often recognized in the form of awards and decorations. However, there are many other significant accomplishments often addressed in the EPR's narrative comments. Such recognition, either in the form of decorations or narrative comments, can help board members identify the truly outstanding performer.

Table 3.1. Calculating Points and Factors for SMSgt and CMSgt Promotions.

RULE	A If the factor is	B then the maximum score is
1	USAFSE	100 points. Base individual score on percentage correct (note 1).
2	TIS	25 points. Credit one-twelfth point for each month of TAFMS, up to 25 years, computed as of the last day of the cycle (note 1).
3	TIG	60 points. Credit one-half point for each month in current grade based on DOR up to 10 years, computed as of the first day of the last month of the cycle (note 1).
4	Decorations	25 points. Assign each decoration a point value based on its order of precedence as follows (note 2): Medal of Honor: 15 AF, Navy, or Distinguished Service Cross: 11 Defense Distinguished Service Medal, Distinguished Service Medal, Silver Star: 9 Legion of Merit, Defense Superior Service Medal, Distinguished Flying Cross: 7 Airman, Soldier, Navy-Marine Corps, or Coast Guard Bronze Star, Defense Meritorious Service Medals, Purple Heart: 5 Air, Aerial Achievement, Air Force Commendation, Army Commendation, Navy Commendation, Joint Services Commendation, or Coast Guard Commendation Medal: 3 Navy Achievement, Coast Guard Achievement, Air Force Achievement, or Joint Service Achievement Medal: 1
5	EPRs	135 points. Multiply each EPR rating that closed out within 5 years immediately preceding the PECD (not to exceed 10 reports) by the time-weighted factor for that specific report. The time- weighted factor begins with 50 for the most recent report and decreases in increments of five (50-45-40-35-30-25-20-15-10-5) for each report on file. Multiply that product by the EPR conversion factor of 27. Repeat this step for each report. After calculating each report, add the total value of each report for a sum. Divide that sum by the sum of the time-weighted factors added together for the promotion performance factor; for example, 126.60 (notes 1 and 3). ***Example:*** EPR string (most recent to oldest): 5B-4B-5B-5B-5B-4B 5 x 50 = 250 x 27 = 6,750 4 x 45 = 180 x 27 = 4,860 5 x 40 = 200 x 27 = 5,400 28,485 ÷ 225 = 126.60 5 x 35 = 175 x 27 = 4,725 5 x 30 = 150 x 27 = 4,050 4 x 25 = 100 x 27 = 2,700 225 28,485

NOTES:
1. Cut off scores after the second decimal place. Do not use the third decimal place to round up or down.
2. The decoration closeout date must be on or before the PECD. The "prepared" date of the DECOR 6, **Recommendation for Decoration Printout**, must be before the date AFPC made the selections for promotion. Fully document resubmitted decorations (downgraded, lost, etc.) and verify they were placed into official channels before the selection date.
3. Do not count nonevaluated periods of performance (break in service, report removed through appeal process, etc.) in the computation. For example, compute an EPR string of 4B, XB, 5B, 4B the same as an EPR string of 4B, 5B, 4B.

3.4.2.7. Leadership. Board members use their judgment, expertise, and maturity when reviewing records to assess a SNCO's leadership potential. In particular, the board members seek information to help them gauge how effectively eligibles interact with their peers and subordinates. What have the rating officials said about the person's leadership qualities and leadership potential? What haven't they said?

3.5. Evaluation Process:

3.5.1. Trial Run. As previously mentioned, board

members are given two selected sets of records to score as a practice exercise prior to the actual scoring process. Using the whole person concept, they score the records, using secret ballots. This process helps them establish a scoring standard they can apply consistently throughout the board process.

3.5.2. Scoring:

3.5.2.1. After the trial run is completed and discussed, panels begin the actual scoring of "live" records. The same panel evaluates all eligibles competing in a CEM code or AFSC. Each panel member scores each record, using a 6- to 10-point scale with half-point increments. An individual's record may receive a panel composite score (three members) from a minimum of 18 (6-6-6) to a maximum of 30 (10-10-10) points. The composite score (18 to 30 points) is later multiplied by a factor of 15, resulting in a total board score (270 to 450). Using a secret ballot, panel members score the record individually with no discussion. Records are given to each panel member in a stack of 20; and, after they are scored, the ballots are given directly to a recorder. This ensures each panel member has scored each record independently.

3.5.2.2. A record that is scored with a difference of more than one point between any of the panel members (for example, 8.5, 8.0, and 7.0) is termed a split vote and is returned to the panel for resolution. At this point, all panel members may discuss the record openly among themselves. This allows them to state why they scored the record as they did. Only panel members who caused the split may change their scores. If panel members cannot come to an agreement on the split vote, they give the record to the board president for resolution. This ensures consistency of scoring and eliminates the possibility that one panel member will have a major impact (positive or negative) on an individual's board score.

3.5.2.3. It is important to understand that actual scores will vary between panels, and the specific reason why certain panels scored the way they did cannot be determined because this is a subjective decision. However, because a single panel reviews each CEM code or AFSC, all records within a CEM code or AFSC are evaluated under the same standard. Some panels may award high scores, while others may award low ones. Therefore, whether a panel scores "easy" or "hard" is not significant. The important part of the final board score is how one eligible compares to his or her peers in the final order of merit. This allows each eligible to see how competitive he or she was.

3.5.2.4. Because each board is independent, board members do not know how an individual scored or ranked the previous cycle. Each board arrives at its own scoring standard. However, as long as everyone competing in a CEM code or AFSC is looked at under the same standard, fair and equitable consideration is assured. A number of factors affect board scores from year to year—new panel members with different thought processes, previous eligibles with changed or improved records, and a large pool of new eligibles. As a result, it is not uncommon for board scores to vary (often significantly) from one board to the next.

3.5.2.5. Board members do not have access to the weighted scores (promotion fitness examination score, time in grade [TIG], time in service [TIS], decoration points, etc) of individuals competing for promotion. Their primary concern is to align all eligibles in a relative order of merit, based on their panel score, within their CEM code or AFSC. When board members leave, they do not know who was selected. They only know they have reviewed and scored each record within the standard that evolved from the trial run.

3.5.3. Not Fully Qualified (NFQ) Process:

3.5.3.1. A process associated with enlisted promotion boards that is often misunderstood is the NFQ process. As previously stated, SNCO evaluation board members use the "whole-person" concept to align eligibles in a relative order of merit within their CEM code or AFSC based on the quality of each eligible's SNCO evaluation record. Also, board members are formally charged to ensure individuals are not only best qualified, but also fully qualified to assume the responsibility of the next higher grade.

3.5.3.2. If the board determines an individual is NFQ based on an evaluation of the record, the person is rendered NFQ for promotion. In that case, HQ AFPC removes the individual from promotion consideration and deactivates his or her promotion record, rendering the individual ineligible for promotion. The parent MAJCOM is then notified of the board's decision in writing. The parent MAJCOM must immediately notify the individual through the unit commander. The board is not required to disclose the exact rationale for its findings. However, factors contributing to the decision can be as general as an overall noncompetitive record when compared to peers or as specific as a demonstrated substandard performance and disciplinary problems. In any event, the member is ineligible for that cycle.

3.5.4. Post-Board Processing. After the board is finished, the weighted factor scores are combined with the board scores. This completely electronic operation builds an order of merit listing by total score within each CEM code or AFSC, and the overall promotion quota is then applied to each list. After the selection results are approved, the data is transmitted to the MPF. Questions regarding the SMSgt and CMSgt promotion selection process should be

directed to the MPF's career enhancements office.

3.5.5. Score Notice. All eligible personnel receive a score notice. This notice is a report of how well eligibles "racked and stacked" in their CEM code or AFSC in that specific promotion cycle. To determine weak areas, individuals can also compare their scores with the promotion statistics available in the MPF.

3.6. Supplemental Promotion Actions:

3.6.1. Reviewing the DVR and SNCO selection folder and taking prompt action to correct any errors provides the evaluation board with the most accurate career assessment. However, in case of data errors or omissions, supplemental promotion consideration may be granted. Supplemental consideration is *not* granted if the error or omission appeared on the DVR and appropriate corrective and followup action was not taken before the board met.

3.6.2. Table 3.2 provides specific information concerning supplemental consideration. Requests for supplemental consideration are processed through the MPF. In addition, the MPF can answer questions about the DVR, which may eliminate the need for supplemental consideration.

3.7. Conclusion. An individual's responsibilities toward promotion eligibility and preparedness cannot be overemphasized. Each eligible must be prepared to test when the time comes and take all necessary action to ensure his or her DVR, unit personnel record group (UPRG), and SNCO selection folder contains correct and up-to-date information. Enlisted members control their own promotions, and they are also key team members in their subordinates' promotions. Supervisors should help subordinates lay the groundwork for future promotions.

Table 3.2. Reasons for Supplemental Consideration by the SNCO Promotion Evaluation Board. (note 1)

RULE	A If the item is	B and correction is to	C then consideration by the supplemental evaluation board is
1	PME (note 2)	Add the SNCO or NCO Academy course	Authorized.
2	EPR	Add, remove, or make a significant change	Authorized.
3	Academic education	Show increased academic level (note 3)	Authorized.
		Correct academic specialty (note 3)	
		Change year of completion	Not authorized.
4	Decoration	Add a decoration citation. (This is not authorized if the citation or order was filed or if the decoration was listed on the brief used by the board.) (Note 3)	Authorized.
5	Projected retirement data (individuals who were eligible and considered by original board)	Delete a projected retirement that is not valid at the time the board met	
		Delete a projected retirement that was valid when the board convened, but was later withdrawn	Not authorized.
		Change the projected retirement date	
6	Any eligibility factor	Render an airman eligible (as of the PECD) who was erroneously ineligible when the board convened	Authorized.
7	Projected HYT date (for individuals who were ineligible because of an HYT date and not considered by the original board)	Show approved extension of HYT date (and reason is best interest of the Air Force)	Authorized.

NOTES:

1. Do not allow supplemental consideration for airmen needing more than the maximum board score (450 points) for selection.

2. Give credit if the airman takes the end of course (EOC) examination on or before the PECD and successfully completes the course, even if this EOC is not scored until after the PECD. (Headquarters Air Force files will not change; only the promotion and WAPS Information Retrieval [WIRE] files will.) ***NOTE:*** PME was last used for CMSgt during cycle 94E9 and SMSgt

during 96E8.

3. Prior to rescoring the record, panel members consider the type of error, degree of impact on the promotion score, and the number of points needed for selection. Records the panel considers, but chooses not to rescore, are nonselectees.

Chapter 4

LEADERSHIP AND MANAGEMENT

Section 4A—Overview

4.1. Introduction:

4.1.1. Upon entering the Air Force, members take an oath, signifying their personal commitment to support and defend the Constitution of the United States and a commitment and willingness to lead for the duration of their Air Force career. The oath is a solemn promise to do one's duty and meet one's responsibilities. Implied in that oath is the responsibility to lead others in the exercise of one's duty.

4.1.2. Every airman is a leader, and truly effective leaders are also good managers. A leader can be a security forces senior airman riding patrol, a pilot flying a mission, or a JFACC planning an air operation. SNCOs play an important leadership role because they often serve as first line and work center supervisors, directing personnel and managing resources while setting an example for less experienced airmen and NCOs.

4.1.3. This chapter covers leadership and management concepts from a SNCO perspective. Section 4B contains information on the foundations of Air Force leadership, leadership style, Air Force leadership principles, and leadership outside the command structure; Section 4C contains general guidelines on leadership and situational leadership; and Section 4D contains information on managing personnel, problem-solving and decision-making, personal time management, and delegating.

Section 4B—Leadership Doctrine

4.2. The Foundations of Air Force Leadership:

4.2.1. To be an effective leader in the Air Force, an understanding of airpower and how it applies to the mission and the people is essential. Aerospace doctrine and the tenets of aerospace power form the basis, but how they are applied to the situation define leadership. SNCOs must understand the technical aspects of applying aerospace power against a target. They must also grasp a broader comprehension of these truths as they relate to responsibility and authority.

4.2.2. The tenets of aerospace power provide specific considerations for applying force against threats. On the surface, these tenets reflect specific aerospace operation lessons over the history of powered flight and highlight the way the Air Force differs from other military forces. Beyond that, however, the tenets shape the way leaders direct the men and women under their charge.

4.2.3. For example, centralized control and decentralized execution is a tenet of aerospace power that allows commanders to set priorities that ensure their units achieve their stated mission. Through centralized control, commanders provide coherent guidance and organization and maintain the ability to focus their unit's energies. Decentralized execution means the commander delegates execution authority to responsible and capable lower-level commanders or supervisors (often NCOs). This willingness to entrust subordinates with mission execution is essential if commanders are to effectively supervise their personnel, foster initiative, and be flexible and responsive to different situations. This makes every NCO a leader and mandates the use of good leadership techniques and professionalism at all levels.

4.3. Leadership Style:

4.3.1. Leadership is an art, and SNCOs must work to perfect this art by developing a leadership style that capitalizes on their particular individual strengths. While an individual may exhibit a personalized leadership style, leaders must be flexible because methods, ideas, or techniques effective in one situation may not be effective in another. Members of the Air Force may find themselves in a leadership situation or position at any time as a result of experience, seniority, promotion, or a sudden, catastrophic event. Regardless of the situation, good leaders are adaptable, balancing their units' needs with remaining focused on mission success.

4.3.2. Leaders prepare for challenges through their career-long study and application of the art of leadership. Successful military leaders generally exhibit common character traits and embrace tried and true leadership principles. SNCOs must strive to develop and hone their skills, build on expertise in their specialties, learn from others experiences, study military history, and observe their environment. Throughout their career they read, observe others' actions, solicit advice, and become attuned to the myriad of social, economic, and political factors that shape the Air Force and the world. Finally, Air Force leaders embrace the Air Force's core values of integrity first, service before self, and excellence in all we do.

4.4. Air Force Leadership Principles. Leadership principles are guidelines that have been tested and proven over the years by successful leaders. Leadership principles reflect and expand on the core values, and they apply to all airmen. Together, leadership principles and core values form the bedrock of the Air Force culture, and every airman plays an important role in sustaining this culture. The Air Force requires every airman to reflect these

values, traits, and principles at every level when performing the Air Force mission—because success in war and peace depends upon it. An Air Force leader is flexible enough to meet changing circumstances, competent enough to perform under adverse conditions, courageous enough to lead at the risk of life or career, and honest enough to stand on principle and do what is right. The following key principles of leadership help achieve these and other more mission-specific goals:

4.4.1. Take Care of People. People are the Air Force's most valuable resource. The time and effort a leader spends taking care of subordinates and coworkers will be amply rewarded in increased unit morale, effectiveness, and cohesion. Leaders should encourage unit members to reach their maximum potential, thus increasing their value to their unit and the Air Force. An effective and thorough effort to resolve individual and family issues frees airmen to achieve their full potential.

Retention is a direct reflection of Leadership.

Anonymous

4.4.2. Motivate People. Often, a leader's challenge is motivating others to set and achieve high standards. The ability to generate enthusiasm about the mission may be the single most important factor in leadership. The best way for leaders to do this is to demonstrate enthusiasm about the mission and frequently communicate that enthusiasm to their followers.

Learn to obey before you command.

Solon, Athenian Philosopher

4.4.3. Be a Follower. The Air Force expects all its leaders first to be followers. Airmen observe their leaders and take from them successful traits while avoiding those traits that are counterproductive. Good followers also understand and take personal pride in their contribution to the total mission. They have the strength of character to be gratified by the collective pride in a team effort without seeking individual reward. Effective followers also have the strength of character to flourish without seeking hero status. They also share a number of essential qualities:

4.4.3.1. They manage themselves well.

4.4.3.2. They are committed to the organization and to a purpose, principle, or person outside themselves.

4.4.3.3. They build their competence and focus their efforts for maximum impact.

4.4.3.4. They are courageous, honest, and credible.

4.4.4. Know the Job. Airmen will follow a knowledgeable and competent person. Part of a leader's responsibility is to ensure subordinates know their jobs. The Air Force leader must have a broad view of the mission and should ensure all members understand how each member's effort contributes to mission accomplishment.

4.4.5. Know Yourself. Successful leaders know their own strengths and weaknesses. They capitalize on their strengths by developing a leadership style that complements them. However, they must not ignore their weaknesses. They must recognize them and strive to overcome them. Leaders select team members whose strengths compensate for the leader's weaknesses so a collective effort will get the task done.

4.4.6. Set the Example. Leaders set a high standard for themselves and those around them. Followers will observe positive as well as negative characteristics and emulate them. Lack of self-discipline undermines a leader's authority, dilutes effectiveness, and ultimately, impairs the ability to perform the unit's mission. Especially in the profession of arms, a leader's actions must be beyond reproach if he or she is to be trusted—double standards and contradictory actions will permeate the entire organization. Regardless of how strongly leaders feel about themselves, it is the public's perception that counts and becomes the "reality."

4.4.7. Communicate. Information should flow unimpeded and two ways. Successful leaders listen to what people have to say and strive to keep all channels open. In particular, a leader must tactfully and clearly communicate ideas, participate in effective group decision-making, and be receptive to ideas for improving the unit and better accomplishing the mission.

4.4.8. Educate Yourself and Others. Leaders mentor and train airmen to more effectively accomplish the mission. PME, professional development (continuing civilian education), off-duty education, technical training schools, and on-the-job training are formal means of training and educating airmen. Informal training, practice, and personal experience are crucial supplements to formal training. Greater efficiencies are possible with a highly trained and skilled force.

4.4.9. Equip Your Troops. Good leaders ensure their troops have the right tools to perform the mission, including equipment or facilities that aid mission accomplishment. Occasionally, despite best efforts to obtain them, needed tools are not available (or not available in enough quantity). In this situation, a good leader solicits possible solutions and works to develop a creative alternative. A well-equipped force can capitalize on its extensive training and may require fewer personnel

or less time to accomplish its mission.

4.4.10. Accept Responsibility. Leaders are responsible for performing the mission. If the mission is successful, the unit deserves praise; if the mission fails, the leader is accountable for the consequences. A leader who is unwilling to accept responsibility destroys his or her credibility and breaks the bond of trust, respect, and loyalty vital to teamwork.

4.4.11. Develop Teamwork. A good leader works to build airmen into a cohesive team that works together to accomplish the mission. A leader cannot accomplish the mission alone, and it is impossible for followers to accomplish the entire mission by themselves. Only a true team can accomplish the mission and avoid the trap where only one person is capable of accomplishing one aspect of the mission.

4.4.12. Read, Study, Watch, and Prepare. The day will come when an airman, looking around for a leader, realizes he or she can lead. The Air Force cannot tolerate an ill-prepared person in a leadership position. It is a privilege to lead others, but every airman must be prepared to take the reins of leadership. While the Air Force provides many opportunities to increase leadership knowledge and develop leadership skills, each individual is ultimately responsible for obtaining the necessary knowledge and skills through whatever means available—written material, on- and off-duty education, training, mentoring, etc.

4.5. Leadership Outside the Command Structure:

4.5.1. A leader does not need to be a commander. Leadership exists both inside and outside the formal command structure of a military organization. A civilian or military supervisor, an airman in a two-person shop, or a newly commissioned lieutenant can be a leader. Grade and status do not always confer leadership. Thus, while not every airman is eligible to command in the strict sense of the word, all airmen have the opportunity and responsibility to lead.

4.5.2. Every organization has a formal leader, and most also have informal leaders. Informal leaders influence others opinions and are the ones most sought after for information and advice. Sometimes SNCOs are the informal leaders; sometimes more junior-ranking airmen are. SNCOs should know who the informal leaders are and tap into informal communication channels by communicating with them frequently. Likewise, informal leaders need to make sure they are good followers because their influence may be more powerful than that of the formal leader.

Section 4C—Everyday Leadership

4.6. Leadership and Management. Although leadership and management are different, one is not necessarily better than the other nor is one a replacement for the other. Rather, leadership and management are two distinct and complimentary systems of action.[1] Each has its own function and characteristic activities, and both are necessary for success in an increasingly complex environment. Leadership is about coping with change; management is about coping with complexity. Many organizations are overmanaged and underled. Successful organizations actively seek out personnel and develop them for leadership. But, while improving the ability to lead, they must understand that strong leadership with weak management is no better—and sometimes actually worse—than the opposite. The challenge is to combine strong leadership with strong management, using one to balance the other. A few general guidelines on leadership are as follows:

4.6.1. Vision. A requisite quality is the combined abilities to conceptualize, motivate toward accomplishment, and execute. Having a vision and communicating it effectively is essential. Having a vision is just as important as getting things done.

4.6.2. Grow With Experience. This quality is almost universally found in good leaders. The road to leadership is to err and err and err again, but to always err less and never to make the same mistake twice. Learning is usually fastest when the lessons are hardest.

4.6.3. Create an Atmosphere. Most good leaders try hard to create an *esprit de corps* which helps bring out the best in others and encourages them to strive harder to accomplish more. Leaders have the guts to make unpopular decisions; rarely do they suffer from the fatal weakness of needing to be universally loved. However, good and effective leaders do strive to satisfy the psychological needs of those who follow them. Of course, it is also true that good leaders need good followers.

4.6.4. Self-Confidence. Finally, a good leader radiates self-confidence, which inspires others. Even more important is having confidence in those with whom they work closely. Confidence begets confidence; it is contagious.

4.7. Situational Approach to Leadership:

4.7.1. Concept. The situational approach to leadership is based on the idea that a leader must analyze each situation and choose the appropriate action to accomplish the

[1] Robert L. Taylor and William E. Rosenbach, "Military Leadership—In the Pursuit of Excellence," Westview Press, Inc., Boulder, CO, 1992, pp. 1-3, 21-23, 119, and 137.

mission. That is, different actions are appropriate in different situations. The leader achieves proper consistency and flexibility by asking, "What must I do in this situation to best lead my people?" Authorities on leadership agree there is no one pattern or style that continually produces successful results. Consequently, the situational approach to leadership focuses on the ability to adapt different leadership styles to differing situations. Kenneth H. Blanchard, author and noted authority on leadership, continued the development of the situational theory to encompass various situations.[2]

4.7.2. Style Qualities. According to Blanchard, several situational variables influence which leadership style will be appropriate in a given situation. These variables include time, job demands, organizational climate, and skills and expectations of superiors, peers, and subordinates. The three critical qualities supervisors can use to reinforce style flexibility are to understand yourself; evaluate conditions and situations, and diagnose and act, as follows:

4.7.2.1. Understand Yourself. Leaders must have and maintain an accurate self-concept. Everyone has different strengths, weaknesses, capabilities, and limitations. To be effective, leaders must know and use their strengths and minimize their weaknesses. For example, many supervisors perform superbly in their duty environments and communicate effectively to small groups. However, they may not always communicate effectively to larger audiences. These individuals should develop their communication skills. Leaders must honestly evaluate themselves and constantly look ahead to evaluate how well qualified, capable, and ready they are for future opportunities.

4.7.2.2. Evaluate Conditions and Situations. It is not enough for leaders to know their strengths and weaknesses. They must also be able to evaluate different conditions and situations. Most circumstances involve people, material, resources, and time. Unfortunately, these elements do not always work together or toward the same goal. When problems occur, leaders must quickly pinpoint critical elements and separate them from those less critical. Leaders must identify the causes and the consequences of a particular situation, remain objective, and not let personal biases, prejudices, or assumptions distort their thinking. Usually, if the problem diagnosis is accurate, the response and problem resolution will be accurate as well.

4.7.2.3. Diagnose and Act. The successful leader objectively and critically considers the consequences before taking action. Does the proposed solution support the mission? What effect will the decision have on subordinates and coworkers? Does the decision make the best use of people and material? What will be the long-term effects? Which leadership style would be most effective given the situation and people involved? Applying the proper leadership style is basic to the situational approach.

4.7.3. Commitment and Competence Levels:

4.7.3.1. Each worker is different and has a distinct level of commitment toward, and competence in, achieving work center objectives. According to Blanchard:

> *Commitment is a combination of confidence and motivation. Confidence is a measure of a person's self-assuredness—a feeling of being able to do a task well without much supervision, whereas motivation is a person's interest and enthusiasm in doing a task. Competence is a measure of a person's knowledge and skills related to the task at hand.*

4.7.3.2. To be effective, Blanchard states that subordinate commitment and competence levels in relation to the task must be considered and the leadership style adjusted accordingly. He lists the following four common situations:

4.7.3.2.1. Low Competence—Low Commitment. New airmen or civilian workers are often not competent at this point. They may be willing to learn, but are also somewhat apprehensive because their job knowledge is lacking. An effective leader will provide these individuals with clear and specific directions and close supervision. They need to be told what, how, when, and where to do their various jobs. Even an experienced worker can be in this category if the job changes or a task is added.

4.7.3.2.2. Low Competence—High Commitment. As subordinates learn more about the job, they become partially competent. They are then able to engage in more detailed two-way communication with the leader. Additionally, the leader may find workers who have retrained into a new specialty or taken on more responsibility and are excited to learn, but lack all the skills necessary for the new job or responsibility. An effective leader will give these individuals direction and support (that is, direction to help them become competent and support to maintain their confidence and enthusiasm and engage in the two-way communication). The leader's directive behavior should address the follower's lack of competence in particular tasks.

4.7.3.2.3. High Competence—Low Commitment. Other subordinates are competent, but sometimes apprehensive. This can be especially true for inexperienced supervisors who may fluctuate between feeling effective and

[2] Kenneth Blanchard, "Leadership and the One-Minute Manager."

ineffective. The leader must support and encourage these individuals by expressing a belief in their ability to get the job done. In this case, the leader's supportive behavior addresses the follower's lack of commitment.

4.7.3.2.4. High Competence—High Commitment. There are the subordinates who are both competent and committed to their jobs. They know what to do and are enthusiastic about doing it. These are the individuals the leader tasks to develop or implement new procedures, informing the leader only of their progress. Projects may be delegated to these subordinates, and they should be allowed to make the decisions that will ensure task accomplishment. Low-supportive and low-directive behavior is appropriate because followers are both committed to and competent on the task.

Section 4D—Management

Leadership versus Management:
Leaders do the right thing, while managers do things right.

Anonymous

4.8. Managing Personnel. The human factor is crucial to success in team management. Few "people problems" can be solved quickly, and some are totally beyond management's control and can only be contained. However, managers do have influence over many factors that affect their people. Managers can only underestimate the impact they have upon the group's effectiveness. Because team managers and leaders have the authority to sanction, encourage, or restrict most aspects of their subordinates' working day, this places managers in a position of power and responsibility. Motivation and team building are two key tools a manager can use to bring people together and accomplish the mission. Problem-solving and decision-making, personal time management, and delegating are additional management tools.

4.8.1. Motivation.[3] Motivation is not something that happens overnight; it is part of the total workplace environment and takes time. Therefore, it is important to take the long-term view when considering motivation. Managers need a sustainable approach to maintain enthusiasm and commitment from their subordinates. Fredrick Herzberg undertook classic work on motivation in the 1950s when he formulated the "motivation-hygiene" theory. Herzberg identified several factors (salary levels, working conditions, and company policy) that demotivated subordinates when they were absent or of poor quality and satisfied subordinates when they were present and of good quality. He called these factors *hygiene factors* because they are needed just to maintain satisfaction (hygiene) in the workplace. Herzberg also identified some factors he called *motivators* because they do more than just provide satisfaction or dissatisfaction—they can motivate. These motivators are things such as achievement, recognition, the work itself, responsibility, and advancement. Herzberg's ideas are still applicable today. The following paragraphs will discuss each of these motivators and the role mangers need to play in order to establish a motivational environment.

4.8.1.1. Achievement. Managers set the targets (goals and objectives). By doing so, the managers have a dramatic effect upon the team's sense of achievement. If the targets are too hard, the team will feel failure; if too easy, the team will feel unfulfilled. Ideally, the manager provides a series of targets that are easily recognized as stages toward the ultimate task completion. Thus, progress is punctuated and celebrated with small, but marked, achievements. Good managers continuously challenge their staff, and, in doing so, the staff knows the manager knows they can meet the challenge.

4.8.1.2. Recognition. Recognition is about feeling appreciated. It is knowing the whole team, including the manager, acknowledges what is done. In opposite terms, if people do something well, but feel it is ignored, they may not bother to do it so well the next time (because "no one cares"). The feedback given to a team is fundamental to their motivation. Members should know what they do well (be positive), what needs improving (be constructive), and what is expected of them in the future (what to aim for). They need to know where they stand and how they are performing against the supervisor's expectations. Supervisors can achieve this through a structured review system. The best time to give feedback is when the event occurs; and feedback has the greatest impact when it is honest, simple, and constructive.

4.8.1.3. The Work Itself. The work should be interesting and challenging. Unfortunately few managers have only interesting, challenging work to distribute; there is always the boring and mundane. Thus, a management's challenge is to first make sure everyone (including the manager) has a share of the interesting and the dull. Remember, what is dull to some might be new and fascinating to others, so match tasks to people and, if possible, share the worst tasks. For instance, taking minutes in meetings is dull on a weekly basis, but quite interesting and educational once every 6 weeks; and it also heightens a sense of responsibility. Second, if the task is dull, perhaps the person given the task can change the way it is completed. This can turn dull into challenging, add responsibility, and even improve team efficiency.

4.8.1.4. Responsibility. Of all of Herzberg's positive motivators, responsibility is the most lasting. One reason is that gaining responsibility is itself seen as an advancement which gives rise to a sense of achievement

[3] Gerard M. Blair, "The Human Factor," IEE Engineering Management Journal (1991 - 3).

and can improve the work itself—a motivation multiplier! Assigning responsibility is a difficult task because, no matter what happens, the manager is ultimately accountable.

4.8.1.5. Advancement. There are two types of advancement—the long-term issues of promotion, salary raises, and job prospects and the short-term issues of increased responsibility and acquisition of new skills (broader experience). Although managers may not have complete control over the long-term issues, they do exercise a great deal of control over the short-term ones. Subordinates often seek the long-term successful issues while managers provide the short-term issues and must convince subordinates these are necessary steps for long-term advancement. The manager must design the work assignment so each member of the team feels "I'm learning, I'm progressing."

4.8.2. Team Building. Team building helps a group function as a unit by fostering morale, trust, cohesiveness, communication, and productivity. The team concept is an important one in most organizations. Successful organizations, including the Air Force, depend on teams to accomplish tasks. The most distinguishing characteristic of a team is that its members have the team goal as their highest priority.[4] The benefits and five stages of team building are as follows:

4.8.2.1. Benefits:

4.8.2.1.1. Collaboration. People want to work well together and support one another because they identify with the team. They want the team to be successful.

4.8.2.1.2. Communication. People who have learned to support and trust one another share what they know freely. They realize how important it is to the team to pass on the information members need to operate more effectively. Information flows up, down, and sideways.

4.8.2.1.3. Resources. A team has a more efficient use of resources, talents, and strengths because people apply them willingly and share them with other team members.

4.8.2.1.4. Decisions. Lead time for implementation is reduced because people make their choices together, not sequentially. Decisions are made by consensus, which means they are usually better than what even the brightest person in the group could come up with alone.

4.8.2.2. Five Stages of Team Development. The following five stages characterize how effective teams develop:

4.8.2.2.1. Stage 1 – Searching. Confusion over the roles each person will play, the task to be performed, the type of leadership, and where the leadership is coming from characterize the initial step in forming a new team. The goal here is to identify: "what we are here for," "what part should I play," and "what task am I suppose to do."

4.8.2.2.2. Stage 2 – Defining. Define the task to be performed or the objective to be reached by the group. Members begin to see what kinds of roles they want to play in reaching the objective. They see themselves as individuals working with other individuals to perform a task. They are not a true group, but rather a collection of persons brought together for a common purpose.

4.8.2.2.3. Stage 3 – Identifying. Members sense they are no longer a collection of individuals—each with his or her own objectives and agendas—but actually members of a group working together toward a common goal. They now define their roles as serving the group, instead of being self-serving. They are dedicated to helping the group achieve its objective.

4.8.2.2.4. Stage 4 – Processing. Not only do members work together on the task or objective, but they evaluate their effectiveness in doing so. They experiment with new roles that will help the group be successful. Team members look at how they operate in hopes of developing even more effective ways to reach group goals.

4.8.2.2.5. Stage 5 – Assimilating and Reforming. Teams formed to do a task or project usually "die" when the work has been completed; teams with a permanent mission change do not. In the latter case, some people leave and others join. The team absorbs the new members and closes rank when others leave. New dynamics emerge as the group changes its personality, membership, and tasks.

4.8.3. Problem-Solving and Decision-Making. One tried and true method for problem-solving and decision-making consists of two steps; defining the problem and deciding how to solve it. Although this seems obvious, most problem-solvers and decision-makers don't do a good job of defining the problem before they rush off to solve it. Unless the problem is accurately and thoroughly defined, the solution may not address what's really wrong. The difficult part is in uncovering the root problem, not just additional symptoms.[5]

4.8.3.1. Problem-Definition Process. This first step has three parts; recognizing the problem, labeling the problem, and analyzing the cause of the problem. Each part must be completed before proceeding to the next; and, for best results, no part should be skipped.

[4] Thomas L. Quick, "Successful Team-Building," pp. 3, 28-30.

[5] Sandy Pokras, "Systematic Problem-Solving and Decision-Making," pp. 12, 29, 41, 54, 70, 77, 90.

4.8.3.1.1. Problem Recognition. Problem-solving begins by recognizing that a situation needs resolution. Problem recognition often starts with a discussion to gather symptoms from those involved. The objective is to get as much related information as possible "on the table." Open-minded listening and genuine empathy are required to objectively assess all viewpoints. Generally, this part is complete when everyone agrees a problem needs resolution and all initial perceptions have been heard, listed, and categorized.

4.8.3.1.2. Problem Labeling. This part attempts to identify and label all sides of the problem in a way everyone can accept. After gathering data on the problem, it still may not be clear what kind of problem exists. Group participants may have different interpretations of the same issue. Participants may label the issue with different words even though they are talking about the same one. The label can be a phrase that highlights the key issue or major obstacle, and it should describe how things are affected, what needs to change, and the scope of the problem. The result of problem labeling is a simple agreed-on statement of the problem's common denominators.

4.8.3.1.3. Problem-Cause Analysis. Analyzing the cause of the problem produces the problem's true definition. Previous parts helped create general awareness of what the problem is; this part looks for the root cause of the problem. Identify contributing factors that make the problem worse, sort through partial explanations that are possible causes, and weed out the byproduct effects. The root cause is at the bottom; it is a controllable, solvable force that explains why the problem exists. Find and agree on the single most fundamental problem source. Once a unanimous identification of the root cause is agreed on, start the next step.

4.8.3.2. Decision-Making. This second step has three main parts; possible options, decision-making, and the action plan. Again, only when the result of each part is reached should the next one be started.

4.8.3.2.1. Possible Options. The goal is to compile a complete list of conceivable alternatives. Look for strategies that address the root cause and resolve the problem once and for all. A complete list is absolutely essential before proceeding. This part does not have to be lengthy or complicated, but it is vital in generating agreement on the ultimate decision.

4.8.3.2.2. Decision-Making. One alternative solution is chosen as a course of action. The philosophy of decision-making is evaluation—weeding out the worst choices and weighing the remaining choices against each other. Consider ranking, prioritizing, and scoring alternatives to make choices. The result should be a firm joint decision on the chosen optional solution. This means selecting one strategy that everyone will respect. A "right" decision may exist, but it will not work unless those involved "buy in." Too often, decision-making is riddled with political power abuse, personal preference, or poor leadership. A compromise choice may be less risky and more acceptable to those who have to implement the solution. Therefore, an agreed-on, workable solution is better than a "perfect choice" that continues to create controversy from hidden resistance. Once the decision is chosen and agreed on, everyone must stick with it.

4.8.3.2.3. Action Planning. The best solution ever conceived and agreed on won't solve a problem if it isn't put into action. An action plan details the who, what, when, and how; and it organizes tasks to implement the decision. Timing, personnel, and other resources must be considered and choreographed into action. Setting performance standards, production and quality targets, and a followup monitoring mechanism are vital to ensure the plan is executed correctly and the problem is solved. Always consider Murphy's Law, *"That which can go wrong, will."* Plans rarely go as conceived; anticipate problems and prepare for anything and everything possible. Strive for action planning that allows for fast adjustment and wise reaction.

4.8.4. Personal Time Management. Personal time management is about controlling the use of the most valuable (and undervalued) resource—time. The absence of time management is characterized by last minute rushes to meet deadlines, meetings that are either double booked or achieve nothing, days that seem somehow to slip unproductively by, and crises that loom unexpected from nowhere. This sort of environment leads to inordinate stress and performance degradation. Because personal time management is a management process, it must be planned, monitored, and regularly reviewed. A discussion on basic time management tools is as follows:[6]

4.8.4.1. Analyze the Present. Before attempting to change the future, it is worth considering the present. For a week, keep a note of how you spend your time. Create a simple log, make six copies, and carry them around with you, filling in a row every time you change activities. After 1 week, review the log. The first step is a critical appraisal of how you spent your time and a review of your habits. Identify time that might have been better used. Look at each work activity and decide objectively how much time each was *worth*. Then compare that with the time actually *spent.* Specifically, if you have a task to do, decide beforehand how long it should take and work to that deadline. Then move on to the next task.

4.8.4.2. Time Wasters. There are various sources of

[6] Gerard M. Blair, "Personal Time Management for Busy Managers," IEE Engineering Management Journal (1991 - 3).

waste. The most common are social—telephone calls, friends dropping by, and coffee machine conversations. Your log will show if this is a problem. Another common source of waste is delaying "unpleasant" work by finding distractions that are less important or unproductive. Check your log to see if any tasks are being delayed simply because they are dull or difficult. Another source of waste is time changing between activities. For this reason, it is useful to group similar tasks together, thus avoiding the startup delay of each. Your log will show where these savings can be made. Initiate a routine that deals with these on a fixed, regular basis.

4.8.4.3. Performing Subordinate's Work or the Work of Others. Often, it is simpler to just do the task. However, if a subordinate is capable of performing the task, use the next occasion to start his or her training. Obviously, the subordinate will still need to be monitored, but monitoring consumes far less time than actually doing the task. A major impact on anyone's workday can be the tendency to help others do their work. In the spirit of an open and harmonious work environment, it is obviously desirable that everyone helps each other. However, check your log and decide how much time should be spent on your own work and how much you can afford to spend on the work of others.

4.8.4.4. Control Appointments. The next stage of personal time management is to take control of appointments. Determined by external obligation, appointments constitute interaction with other people and an agreed-on interface between your activities and those of others. Start with a simple appointment diary. List all appointments including regular and recurring ones. Now, be ruthless and eliminate the unnecessary. There may be committees where you cannot productively contribute or where a subordinate might be able to participate. Eliminate the waste of your time.

4.8.4.5. Add Productive Activities. The next step is to build in activity that enhances the use of your available time. Consider activities that save time and allocate time to save time. Most importantly, always allocate time for time management—at least 5 minutes each and every day. One way to do this is to organize your work just before leaving each day. This allows for a fresh and ready start at the beginning of the next workday.

4.8.4.6. Save Time Through Preparation. Consider what actions might be taken to ensure no time is wasted. Plan to avoid work by being prepared. If attending a meeting where you will be asked to comment on some report, allocate time to read it before the meeting. This will avoid delays in the meeting and increase the opportunity for the right decision the first time. Consider what actions need to be done before and what actions must be done to follow up. Even if the latter is unclear before the event, allocate time to review the outcome and plan the resulting action. When the time comes, follow through.

4.8.4.7. Deadlines and Suspenses. The most daunting external appointments are deadlines, often the handover of deliverables. Is there a final panic towards the end? Are the last few hectic hours often marred by errors? If so, use personal time management. Check the specification when receiving the task. Break the task down into small sections, estimate the time needed for each, set milestones, and schedule progress reviews. If possible, allow for sufficient time to rework projects if you receive new directions or changes to the original specifications.

4.8.5. Delegating:

"I delegate myne auctorite." (I delegate my authority.)

John Palsgrave (1530)

4.8.5.1. Objectives:

4.8.5.1.1. The objective of delegation is to get the job done by someone else. That is, not just the simple tasks of reading instructions and turning a lever, but also the decision-making and changes that depend on new information. With delegation, subordinates have the authority to react to situations without referring back to the manager. Delegating can be used as a dynamic tool for motivating and training a team to realize its full potential. Delegation lives within a management style that allows subordinates to use and develop their skills and knowledge.

4.8.5.1.2. Without delegation, the manager loses the full value of subordinates. As the ancient quotation above suggests, delegation is about entrusting authority to others. This means others can act and initiate independently and assume responsibility *with the manager* for certain tasks. If something goes wrong, the manager remains accountable. The goal is to delegate in such a way that things get done *correctly*.[7]

4.8.5.2. Information Exchange:

4.8.5.2.1. To enable others to do a job, the manager must ensure they know what is expected, have the authority to achieve it, and know how to do it. All of these depend on clearly communicating the nature of the task, the extent of the subordinate's discretion, and the sources of relevant information and knowledge. Such a system can only operate successfully if the decision-makers (subordinates) have full and rapid access to relevant information.

[7] Gerard M. Blair, "The Art of Delegation," IEE Engineering Management Journal (1991 - 3).

4.8.5.2.2. An effective flow of information, consisting of regular exchanges between the manager and subordinates, must exist so each is aware of what the other knows and is doing. If a manager restricts access to information, then only he or she is able to make a decision. Some managers fear subordinates may challenge them or they will lose all control if subordinates are informed and allowed to make a decision. The manager who recognizes that subordinates may have additional experience and knowledge (and may enhance the decision-making process) welcomes subordinates' inputs. By example and full explanations, the manager trains subordinates to apply the same criteria he or she would.

4.8.5.3. How To Delegate. To understand delegation, think about people. Delegation cannot be viewed as an abstract technique; it depends on individuals and their needs. The key is to delegate gradually. First, present a small task leading to a little development; then, present another small task that builds on the first. When that is achieved, add another stage and so on. This is the difference between asking people to scale a sheer wall and providing them with a staircase. Each delegated task should have enough complexity to stretch that member a little farther. When delegating, agree on the criteria and standards by which the outcome will be judged. With appropriate monitoring, mistakes can be caught before they are catastrophic.

4.8.5.4. What To Delegate:

4.8.5.4.1. Delegate as much as possible to develop subordinates into good managers. The starting point is to identify the foundation activities that were performed by the manager before he or she was promoted. Tasks in which the manager has experience are the easiest to train a subordinate to take over. The manager uses his or her experience to ensure the task is done well, rather than to actually perform the task. The manager can then use his or her time to perform other duties while the subordinates are developing new talents, thus increasing the group's strength.

4.8.5.4.2. Tasks in which the subordinate is more experienced should be delegated. Based on the subordinate's experience, the default decision should belong to him or her. A successful manager ensures time is spent explaining the decisions so he or she learns from the subordinate.

4.8.5.4.3. Managers should distribute the more mundane tasks as evenly as possible and sprinkle the more exciting ones just as widely. In general, but especially with the boring tasks, the manager should be careful to delegate both task performance and ownership. Task delegation, rather than task assignment, enables innovation.

4.8.5.4.4. Certain managerial functions should never be delegated; motivating, team building, organization, praising, reprimanding, and evaluating (performance reviews).

4.8.5.5. Control. Because delegation is about handing over authority, the manager cannot dictate how that delegation is to be managed. To control the delegation, the manager establishes the reporting schedule, sources of information, his or her availability, and criteria of success. These issues should be negotiated with subordinates. A workable procedure is possible only by obtaining subordinates' input and agreement. Once tasks are delegated, the manager must monitor progress and continue to develop subordinates to help them exercise their authority.

4.9. Conclusion. All Air Force members take an oath signifying their personal commitment and willingness to lead. Every airman is a leader, and truly effective leaders are also good managers. SNCOs play an important role because they often serve as first line and work center supervisors who direct personnel and manage resources while setting an example for less experienced airmen and NCOs. Information in this chapter is fundamental to the Air Force. SNCOs must understand and practice good leadership and management.

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Chapter 5

PROTOCOL FOR SPECIAL EVENTS

Section 5A—Overview and Distinguished Visits

5.1. Definition. By definition, protocol is a code prescribing strict adherence to correct etiquette and precedence. This code helps direct the conduct of Air Force personnel during personal, national, and international affairs. Protocol has evolved gradually over centuries. Although there are generally accepted elements, units, bases, and MAJCOMs often modify protocol procedures to meet their special needs. Though only a guide, the information in this chapter can help you avoid protocol pitfalls.

5.2. Distinguished Visitors (DV):

5.2.1. Many distinguished dignitaries—military and civilian, domestic and foreign—visit Air Force installations for festive occasions and official business. However DoD officials and members of the Armed Forces are encouraged to decline routine honors unless they serve a useful purpose, such as improving morale or maintaining national prestige. Enlisted personnel are frequently appointed project NCO for a ceremony or official social event or asked to escort a DV. AFR 900-6, *Honors and Ceremonies Accorded Distinguished Persons*, prescribes honors and appropriate ceremonial procedures, and should be observed as closely as possible.

5.2.2. Project NCOs represent their organization and/or their base and are responsible for assisting DVs. A smooth visit often includes action before the visit. Contact guests beforehand to find out if they desire special arrangements. The base protocol office may also need to know guests' transportation needs. Other duties may include preregistering guests, meeting them upon arrival, and escorting them to their next destination.

5.2.3. Have a scheduled itinerary and welcome package placed in the guest quarters. Include such items as a recent base newspaper, unit or base history, telephone numbers of base facilities, and maps of the base and local area. Also appropriate are biographies on the installation or host commander and command chief master sergeant (CCM), host PME commandants and program managers, and CMSgts and first sergeants (in the case of a senior enlisted DV, such as the Chief Master Sergeant of the Air Force [CMSAF]). Include instructions on operating difficult-to-use appliances or machines or using the telephone system in the guest quarters.

5.2.4. Give a thorough briefing to the guest speaker at a special function, such as a Dining-In. Guests may have several commitments other than the primary project. If so, make sure they have schedules that allow time for meetings, telephone calls, meals, changes of clothes, coffee breaks, occasional rest periods, and transportation.

5.2.5. Determine transportation time by physically traveling from place to place before the schedule is set. Allow extra time for boarding vehicles and transferring baggage. If there is a large official party, be sure to brief all drivers on the schedule and give explicit directions so they can operate independently if they become separated. Arrange the lodging checkout time and bill payment. Ensure flight lunches are available if the guests are leaving by military aircraft and they desire this service. Smooth visits can make a lasting positive impression. If you run into difficulty or have questions, do not hesitate to contact the base protocol office—the staff is there to help.

5.2.6. Protocol reflects mutual respect and consideration among all individuals—military or civilian. It is not an ornate show, but a spirit deeply rooted within military life. Knowing and using proper protocol can help ensure military functions are special for everyone.

Section 5B—Military Ceremonies

5.3. Overview. The enlisted corps has a variety of programs to recognize individuals for outstanding performance, achievements, contributions, and promotions to the SNCO grades. AFI 36-2805, *Special Trophies and Awards*, provides information on a variety of programs, but it is not all inclusive. SNCOs should become familiar with the induction of newly promoted MSgts into the "Top 3." They should also become familiar with the Order of the Sword Ceremony and retirement ceremonies.

5.4. "Top 3" Induction:

5.4.1. Promotion to MSgt is a significant milestone in an enlisted member's career. A MSgt-select has demonstrated the capability for more responsibility and begins to climb the "Top 3" ladder as a manager. Thus, it is proper to recognize and initiate a member into the "Top 3" on selection for MSgt.

5.4.2. Most bases or units have an induction ceremony, but there are no established Air Force guidelines. Some bases or units perform monthly induction ceremonies. Mementos, such as certificates or engraved plaques, are presented to new MSgts to preserve the moment and recognize their accomplishments. Promoted SNCOs will surely face new challenges, and a formal induction into the "Top 3" can help make them aware of their new

obligations. If your base or unit does not recognize this achievement, you should consider initiating this tradition.

5.5. Order of the Sword:

5.5.1. Background:

5.5.1.1. The Order of the Sword is patterned after an order of chivalry founded during the Middle Ages—the Swedish Royal Order of the Sword. The rank of NCO was established in the early 12th century. In 1522, Swedish King Gustavus I enjoined the noblemen commissioned by him to appoint officers to serve him. Those appointed were the accountants, builders, crafts people, teachers, scribes, and others conducting the daily kingdom affairs. The system worked so well it was incorporated into the Swedish Army as a way to establish and maintain a cohesive, disciplined, and well-trained force. This force ensured the protection of lives and property in the kingdom.

5.5.1.2. Ancient NCOs would honor their leader and pledge their loyalty by ceremoniously presenting him with a sword. The sword—a symbol of truth, justice, and power rightfully used—served as a token for all to see and know that here was a "leader among leaders." The ceremony became known as The Royal Order of the Sword. The first recorded use of it in America was in the 1860s when General Robert E. Lee was presented a sword by his command.

5.5.2. The Current Ceremony. The Royal Order of the Sword ceremony was revised, updated, and adopted by US Air Force NCOs in 1967. The Order of the Sword is the highest honor and tribute NCOs can bestow upon an individual.

5.5.3. Order of the Sword Committee. Each MAJCOM, field operating agency (FOA), and direct reporting unit (DRU) establishes its own procedural guidelines. An Order of the Sword committee serves as the executive agent and is responsible for developing guidelines, nomination procedures, and ceremony protocol. The committee must also approve the nomination. The MAJCOM's CCM, known as the "keeper of the sword," usually chairs the committee. Membership may include, but is not limited to, all wing CCMs. Because procedures vary from command to command, information presented here is in very general terms.

5.5.4. Nomination and Selection. NCOs wishing to nominate an individual for induction into the Order of the Sword should contact their CCM to determine processing procedures. (***NOTE:*** Do not inform the nominee of the possible induction.) The nomination folder should include a biographical sketch and complete rationale in the nomination. Ensure the nomination is thorough enough so the committee can carefully weigh the individual's merits. The MAJCOM CCM will inform the nominating organization of the decision and provide appropriate guidance and procedures as necessary.

5.5.5. Preparation for the Ceremony. Once the nomination is approved, a hosting committee will form and begin planning the ceremony. Preparations required for the Order of the Sword ceremony are similar to those for the Dining-In discussed later in this chapter. Host NCOs are responsible for planning, executing, and paying for the ceremony. This includes the dinner, awards and presentations to be made to the honoree, ceremonial equipment (such as individual swords), and printed proclamations.

5.5.6. Induction Ceremony. This evening affair usually consists of a social period, formal dinner, and induction ceremony. The required dress is the mess dress or semiformal uniform. The ceremony should be well rehearsed so it reflects formality, dignity, and prestige. Four key participants have speaking parts and other duties: the sergeant major, first sergeant, duty sergeant, and sergeant at arms. MAJCOM, FOA, and DRU directives provide specific guidance for NCOs serving in these positions.

5.5.7. Permanent Recognition in the Order of the Sword. The CMSAF maintains the official list of Order of the Sword recipients. Each sponsoring command maintains a master sword designed for its ceremonies. This sword is on display at each command's headquarters. A nameplate commemorating the command's inductions is affixed to its command master sword.

Section 5C—Dining-In and Dining-Out

5.6. Overview:

5.6.1. The Dining-In and Dining-Out represent the most formal aspects of Air Force social life. It is important that SNCOs help plan and also attend these functions for unit morale and cohesion. The Dining-In is a formal dinner for the military members of a wing, unit, or organization. The Dining-Out, on the other hand, is a newer custom which includes spouses and other guests, but is otherwise very similar to the Dining-In.

5.6.2. The Combat Dining-In, the newest of the dining-in traditions, is becoming increasingly popular, especially in operational units. The format and sequence of events is built around the traditional Dining-In, but this function's far less formal atmosphere and combat dress requirements (flight suit, space and missile crew suits, battle dress uniforms) make it very appealing. There is not a great deal written on the subject, and the only limit seems to be that of the planning committee's imagination. For guidance or

information on the Combat Dining-In, contact the local or MAJCOM protocol office.

5.6.3. This section discusses some aspects of the Dining-In. ***NOTE:*** Although the term "Dining-In" is used throughout this section, most of the information applies to the Dining-Out and Combat Dining-In as well.

5.7. History:

5.7.1. Formal military dinners are a tradition in all branches of the US Armed Forces. In the Air Force and Navy, it is the Dining-In; in the Army, it is the Regimental Dinner; and in the Marine Corps and Coast Guard, it is Mess Night. As with many ancient traditions, the origin is not entirely clear.

5.7.2. Formal dinners are rooted in antiquity, a proud tradition honoring military victories and individual and unit achievements from pre-Christian Roman legions and second century Viking warlords to King Arthur's knights in the sixth century. Some military historians trace the origins of the Dining-In to the old English monasteries. Early universities adopted the custom, and eventually, the dinners were formalized by the military with the advent of the officers' mess. British soldiers brought the custom to colonial America where George Washington's Continental Army adopted it.

5.7.3. The Air Force Dining-In began in the 1930s with General Henry H. "Hap" Arnold's "wingdings." Close bonds enjoyed by Air Corps officers and their British Royal Air Force colleagues during World War II added to the American Dining-In tradition.

5.8. Purpose. The primary purpose of the Dining-In is to enhance unit morale and *esprit de corps.* It gives members a chance to see how ceremony, custom, and tradition build these traits. It is also an appropriate setting for recognizing individual or unit awards and achievements. These dinners are occasions for the commander, unit officers, and NCOs to meet socially at a formal military function. This function enhances the *esprit de corps* of units, lightens the load of demanding day-to-day work, and enables members of all grades to create better working relations through an atmosphere of good comradeship. Success is achieved if members enjoy the evening and the ceremony is tasteful and dignified.

5.9. Attendance. The commander decides if the Dining-In is voluntary or mandatory. Traditionally, attendance was mandatory. Some commanders still consider it mandatory (similar to a commander's call) to ensure all unit members participate in what should be an enjoyable occasion. However, most commanders prefer voluntary attendance because a mandate could dampen the enthusiasm of the members of the mess.

5.9.1. Members of the Mess. Host-unit military members are the members of the mess. Military members assigned to other units, civilian employees, and spouses are not members of the mess and attend only as guests. Remember, the one big difference between a Dining-In and Dining-Out is that only the military members of a unit may attend a Dining-In.

5.9.2. Guests of the Mess. There are two types of guests, official and personal.

5.9.2.1. Official guests are guests of the mess. The guest speaker is an official guest and sits at the head table with all other official guests. Normally, it is a good idea to limit the number of official guests because members of the mess share their expenses and there are a limited number of seats at the head table.

5.9.2.2. Personal guests may be either military or civilian (Dining-Out only). They do not sit at the head table, and the members of the mess pay for their respective guests' expenses.

5.9.2.3. When a member of the mess invites a distinguished senior official from another unit or a civic leader, it is customary, although not mandatory, for the member to pay for the senior official's expenses. The planning committee should, however, provide an escort or host when protocol dictates.

5.10. Dress. Officers wear the mess dress uniform. Enlisted members wear the mess dress uniform or the semiformal dress uniform. Civilian guests usually wear formal attire (black tie), but they may wear business attire. Retired military members may wear the mess dress or civilian attire. Be sure to clearly state the proper dress in the invitation.

5.11. Duties and Responsibilities of Key Players. There are four key players involved in planning and conducting the Dining-In—the president of the mess, arrangements officer or NCO, escort officers or NCOs, and vice president. Duties and responsibilities of these key players are outlined in Figure 5.1 and as follows:

5.11.1. President of the Mess. The president of the mess is usually the unit commander. The president has the overall responsibility for planning and executing the Dining-In and for setting the standards for members of the mess. As commander, he or she retains authority to control rowdy, boisterous, and improper behavior. (Figure 5.1 outlines additional duties.) The president may delegate duties to the arrangements officer or NCO who must then work closely with the president to ensure the success of the Dining-In. However, the president establishes the theme.

Figure 5.1. Duties and Responsibilities of Key Players.

Key Player	Duties and Responsibilies
President	• Oversee entire planning and execution of the Dining-In. • Appoint key players and committee members. • Invite appropriate guest speaker. • Arrange for chaplain to give the invocation. • Greet all guests before dinner. • Open and close the mess.
Arrangements Officer/NCO	• Publish a detailed agenda. • Prepare recommended guest list for the president. • Reproduce biographical sketches of guests, as required. • Arrange for a photographer if pictures are desired. • Brief senior Allied military member on the proper toasts. • Establish correct table and seating arrangements. • Arrange necessary name and organization cards. • Ensure flags are in place before the opening of the lounge. • Arrange for a lighted lectern and public address system. • Place dinner chimes at Mister or Madam Vice's location. • Ensure awards are on hand and in place.
Escort Officers/NCOs	• Contact the guest in advance to discuss aspects of the Dining-In. • Arrange for transportation and lodging, if necessary. • Meet and escort the guest to the Dining-In. • Introduce the guest to the president and other guests. • Ensure the guest is always in the company of several members of the mess. • Ensure individuals or groups do not monopolize the guest. • Escort the guest to the point of departure.
Vice President (Mister or Madam Vice)	• Prepare appropriate toasts as the president directs. • Compose poems and witticisms at the commander's discretion. • Open the lounge at the appointed time. • Sound the dinner chimes at the appropriate time.

5.11.2. Arrangements Officer or NCO:

5.11.2.1. The arrangements officer or NCO is directly responsible to the president for planning the Dining-In and attending to numerous details during the evening. The person serving in this position should be a top planner and supervisor. As the "architect," he or she is involved in every aspect of the event. The arrangements officer or NCO works closely with the president in determining the date, time, and location of the event and in identifying and inviting the guest speaker.

5.11.2.2. The arrangements officer or NCO is responsible for the menu, seating, decorations, music and entertainment, billing and reservations, invitations, and agenda, but he or she should be careful not to make any final decisions on major aspects without consulting the president. Some of the other duties perform by the arrangements officer or NCO are outlined in Figure 5.1.

5.11.3. Escort Officers or NCOs. The president should appoint one escort officer or NCO for each official and distinguished personal guest. The primary duty of the escort officer or NCO is to ensure all the necessary accommodations are made to help the guest enjoy the Dining-In. Figure 5.1 identifies these duties more specifically.

5.11.4. Vice President:

5.11.4.1. The vice president serves as the president's principal assistant and must be totally familiar with the customs and traditions of the mess. Although the vice president is usually the most junior member of the mess, the president may select another member to serve in this demanding position.

5.11.4.2. A successful evening often hinges on the vice president's imagination and humor. Essentially, as master or mistress of ceremonies, the vice president keeps the program moving and stimulates table conversation through his or her keen wit and impromptu speaking ability. "Mister or Madam Vice" traditionally sits alone at the back of the dining room, facing the president. This

position allows the vice president to monitor the program flow and observe the proceedings, including rule violations and breaches in protocol and etiquette. ***NOTE:*** See the grog bowl (paragraph 5.14.7).

5.12. Planning the Dining-In:

5.12.1. Planning early is essential. It is not unusual to begin planning a Dining-In 90 days prior to the desired date. A specific guest speaker or location may require an even earlier start.

5.12.2. A motivated and dedicated planning committee is a must (paragraph 5.13). The arrangements officer or NCO chairs the planning committee. Committee size generally depends on the size of the function. When possible, select experienced committee members. For example, someone with a finance background could handle the budget and billing, the public affairs officer or NCO could handle publicity and photography, and so forth. One member should be designated as a protocol officer or NCO, if only in an advisory capacity.

5.13. Planning Committee Tasks. The planning committee has many tasks and details to handle. Many of the important issues, decisions, and tasks are as follows:

5.13.1. Date and Location:

5.13.1.1. The committee should first select a date and location for the Dining-In. Make sure the date does not conflict with military commitments, such as deployments, inspections, or other major base or community social functions. Informally check the availability of any guest speakers being considered.

5.13.1.2. Next, select a tentative location. An on-base site is preferred. Off-base sites present additional challenges. Make sure the prospective caterer is willing and able to meet the specifications and all provisions of the contract are spelled out (because it may hold whoever signs it as legally liable). Pay particular attention to cancellation clauses and cost factors, such as whether the quoted price includes tax and gratuity. Deadlines for guaranteed reservation numbers and cost of "no-shows" are other important contract considerations.

5.13.2. Guest Speaker:

5.13.2.1. Once the president approves the date and location, the next task is to invite the guest speaker. Traditionally, the speaker is a high-ranking military officer, CMSgt, or government official. The arrangements officer or NCO usually prepares a letter invitation for the president's signature. The letter invitation should include the date and place of the function and describe the audience and other pertinent facts. It is also appropriate to suggest suitable topics and speech length. Most speakers center their speech on the function's theme.

5.13.2.2. Mail the invitation as soon as possible after setting the date. (It is a good idea to have an alternate speaker in mind just in case the speaker of choice cannot attend or must cancel.)

5.13.3. Invitations and Placecards:

5.13.3.1. Send formal invitations in the name of the president to both official and personal guests. If the organization wants to extend invitations to senior officials such as the MAJCOM commander, CCM, or other officials, send invitations through command channels. Invitations to other DVs, such as the CMSAF, is a procedural matter set by the MAJCOM. Usually, members of the mess do not receive formal invitations.

5.13.3.2. Invitations may be engraved or commercially printed. Some organizations use a computer calligraphy font and print their invitations with a laser printer. Other organizations hand-write the information on fill-in-the-blank invitations. Unless invitations are readily available, order them well in advance and mail them at least 2 to 3 weeks before the Dining-In.

5.13.3.3. Placecards are only required at the head table. However, placecards at each setting are becoming increasingly popular. Based on the seating plan, use organizational identification cards, number cards, or both for all tables other than the head table. One card per table—uniform in size, color, and lettering—is appropriate. It is acceptable to use folded white 3- by 5-inch cards. Print each attendee's name on the card, using a black felt-tip pen so the name is easily readable in dim light. For multiple-word military titles, use only the conversational title; for example, "Lieutenant Colonel Jones" is written as "Colonel Jones."

5.13.4. Publicity. Publicize the Dining-In to organizational members, especially junior members. Junior members may hesitate because they are unfamiliar with or fear the rules of the mess. Therefore, it is a good idea to send the rules of the mess out early to allow everyone time to get acquainted with them. Attendance will improve significantly if the organization is informed, involved, and at ease.

5.13.5. Music. A military band or an ensemble, such as a choral group or string ensemble, is the best choice for music because it can fit nicely into the theme of a Dining-In. Schedule a band or one of its elements through the base public affairs office. Consider a taped program if a suitable band or ensemble is not available. However, no music is better than inappropriate music.

5.13.6. Menu:

5.13.6.1. The standard dinner includes salad, entree, and dessert. An appetizer and soup can be added. However, a larger menu means higher costs, and portions of large meals often go uneaten. When planning the menu, consider dietary restrictions for guests of honor or members of the mess or an alternate menu choice for vegetarians or anyone who prefers not to eat the main entree for any reason.

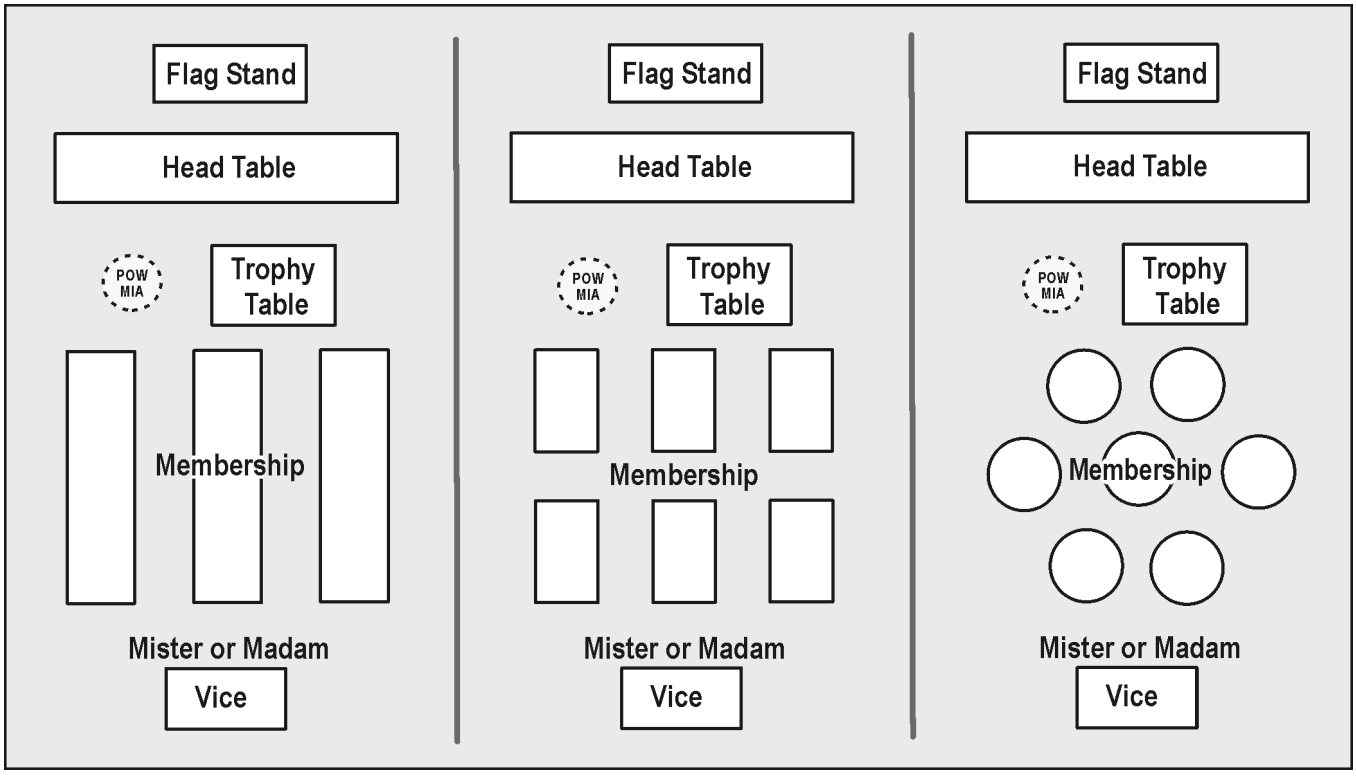
5.13.6.2. Wine, traditionally used in toasting, is an integral part of the Dining-In. Have the wine in decanters so the staff may serve it or simply place the decanters where the attendees may serve themselves. Water should also be available for those who do not wish to drink wine. Make sure refills of both wine and water are readily available.

5.13.7. Seating:

5.13.7.1. The planning committee establishes the seating arrangements with the reservation list. Three typical banquet style table arrangements are depicted in Figure 5.2. Enough space for easy passage is essential. The enlisted club may have seating formations to select from for the number in your party. Although Mister or Madam Vice usually sits alone at the end of the room opposite the head table, convenience and physical layout of the facility may dictate seating the vice president at another location. In any event, ensure Mister or Madam Vice never sits near or at the head table.

5.13.7.2. Seating at the head table is strictly according to protocol with the senior guest to the right of the president, the next senior person to the left of the president, and so forth. Usually, the senior guest is the guest speaker. However, if this is not the case, it is customary to informally ask the senior guest to give up the seat to the president's right to the guest speaker. Seat personal distinguished guests in the front seats of the other tables. Head-table seating for a Dining-Out, however, becomes more difficult because protocol dictates you use a man-woman alternating pattern within constraints. Seat each spouse in precedence according to his or her military member's grade. Spouses do not sit together, nor should two women sit together. The local or MAJCOM protocol office can provide advise on a variety of situations.

Figure 5.2. Seating Arrangements.



5.13.7.3. A prisoner of war (POW) or missing in action (MIA) table is an optional feature. If included, it is placed at the front of the mess, near the head table. This table may be set for one Service (or all four Services), with or without hats. This round table is smaller than the others, symbolizing the frailty of one prisoner alone against oppressors. (***NOTE:*** For detailed guidance concerning the POW or MIA table, refer to your local or MAJCOM protocol office.) The items on the table represent the following:

5.13.7.3.1. White tablecloth—symbolizes the purity of POWs' or MIAs' intentions to respond to their country's call to arms.

5.13.7.3.2. Single red rose displayed in a vase—symbolizes remembrance of the comrades-in-arms' families and loved ones who keep the faith awaiting their return.

5.13.7.3.3. Red ribbon tied on the vase—reminiscent of the red ribbon worn on the lapel and breasts of thousands who bear witness to the unyielding determination to demand proper accounting of the missing.

5.13.7.3.4. Slice of lemon on the bread plate—reminds us of their bitter fate.

5.13.7.3.5. Salt on the bread plate—symbolic of the families' tears as they wait.

5.13.7.3.6. Inverted glass—reminds us they cannot toast with us.

5.13.7.3.7. Empty chair—reminds us they are not here.

5.13.8. Decorations:

5.13.8.1. When planning the decorations, consider the tables, dining room, and lounge. Try to limit table decorations to floral centerpieces and silver candelabra. Order the flowers from a florist at least 1 week in advance. It is generally best to set a budget and have the florist work within dollar limits. The club or caterer may provide the silver candelabra. Formal organizational decorations may also be appropriate.

5.13.8.2. Dining room and lounge decorations often include seals, emblems, flags, and colors tastefully displayed. When in doubt, keep the decorations patriotic (flags; banquet colors of red, white, and blue; and other like items). Usually, the mementos are part of the decorations, so the mementos and decorations are obtained for one price.

5.13.8.3. If the dining room seating arrangement does not permit the American flag to be centered behind the head table, place it to the left of the head table (as the members of the mess would view it). Place all other flags to the right of the American flag. Display foreign flags, if foreign nationals attend and their flags are available. With sufficient lead-time, the local or MAJCOM protocol office can loan flags or other protocol items. If several general officers attend, display the personal flag representing the most senior general officer.

5.13.9. Program:

5.13.9.1. Although not required, a program booklet is one finishing touch that helps give the Dining-In "class." A professional-looking program adds a nice touch, and many people like to keep it as a memento. Usually, one booklet for each place setting is sufficient. In the booklet, include a welcome letter from the commander or CCM, biography of the guest speaker, agenda, schedule of and response to toasts, and menu. Other items such as photographs of the guest speaker and president may also be included. Be sure to obtain this information well in advance to allow enough time for program preparation and printing.

5.13.9.2. The program booklet may be printed commercially or in house. Commercial companies may produce a more professional product, but the cost may be prohibitive. If you elect in-house printing, give some consideration to dressing up the booklet by using quality paper stock, graphic art, type size, and variations in typeface (for example, old English or script). Determine the cost, production method, and booklet contents by local practice and the president's preference.

5.13.10. Budget. An exotic menu, elaborate decorations, engraved invitations, and a fancy program could result in very high cost to members of the mess. Remember, the Dining-In is *for* the members of the mess, and it should reflect their wishes. If some of the traditions are too expensive, unavailable, or simply not desired, disregard them. With some imagination, relatively simple decorations, and a simple, moving, and patriotic ceremony, a Dining-In can be an enjoyable, first-class event without excessive cost. Once tentative costs are determined, the finance person should develop an operating budget because accurately projecting expenditures is necessary to determine the approximate member and organizational cost. If a fundraiser is planned, ensure it is held before setting the price per person.

5.13.11. Billing. Establish a procedure for collecting and depositing money. A separate bank account just for the function may be advisable. For a large function, ask people to serve as key workers within the various unit elements. Each worker is then responsible for taking reservations, collecting money or club card numbers, and turning over these funds to the planning committee.

5.13.12. Other Considerations. It is impossible to cover every minor detail the planning committee should consider, but the following are worth noting:

5.13.12.1. Bartenders. There never seems to be enough bartenders during the cocktail hour or break, yet they are not needed during the formal part of the Dining-In. (Outside drinks are not allowed in the dining room, only the wine and water on each table.) One solution is to start with extra bartenders. This, of course, will increase the cost. A more practical solution is to have drinks prepoured or premixed. Bartenders should also make sure there is an ample supply of nonalcoholic beverages, including diet beverages. You usually will not have to worry about the bartenders if the event is held at a base club.

5.13.12.2. Chaplain. A chaplain or member of the mess may give the invocation. If invited to give the invocation, the chaplain usually sits at the head table.

5.13.12.3. Photography. Brief the photographer and provide an agenda. List the specific photographs desired and make clear requirements for color or black-and-white photos. Remember, color photography is expensive and may require additional justification. Ensure the photographer does not detract from the ceremony or activities. If necessary, stage photos before or after the event.

5.13.12.4. Guest Speaker's Gift. This gift should be of nominal value. A plaque commemorating the occasion or the president's gavel is quite acceptable.

5.13.12.5. Site Inspection. Check the Dining-In site thoroughly on the event day as early in the day as practical. Every committee member should inspect the site. Many little details may need to be modified or corrected. Be sure the mementos, programs, POW or MIA table (if applicable), seating chart, gavel, and chimes are in place. Check the sound system, lighting, and temperature control units because any one of these can spell failure if they are not operating properly.

5.14. Conducting the Dining-In (With a General Officer in Attendance). The entire Dining-In is never rehearsed, although certain portions should be so key players are prepared. A script, prepared by the president and Mister or Madam Vice, can be used. The script usually includes a sequence of events from arrival to adjournment and the associated rules and rituals to the extent historical research supports them.

5.14.1. Cocktails. Each member of the mess should arrive in the lounge within 10 minutes of the opening time. Members should never arrive after the senior guest. The cocktail period usually lasts between 30 to 60 minutes. This time allows members to assemble before dinner and meet the guests. Escort officers or NCOs should never leave guests unattended, and members should rotate between guests to ensure conversations remain stimulating. The cocktail hour does not lend itself to heavy hors d'oeuvres, but light snacks such as chips, pretzels, and nuts may be made available in the lounge. Soft, classical or semiclassical background music (recorded or live) is also appropriate.

5.14.2. Assembling for Dinner. At the end of the cocktail period, Mister or Madam Vice sounds the dinner chimes and directs the mess to proceed to the dining room. Members and guests sitting at the head table remain in the lounge or assemble in an anteroom. All others proceed in an orderly fashion to their seats and stand quietly behind their chairs. (By tradition, drinks and lighted smoking materials are never taken into the dining room.) Once the mess is assembled, the guests at the head table enter in the order they will sit at the table so the entrance and seating can proceed smoothly. When the head table guests are in place, "Ruffles and Flourishes" and the "General's March" are sounded, as appropriate to the senior official. During "Ruffles and Flourishes," all members of the mess stand at attention.

5.14.3. Calling the Mess to Order:

5.14.3.1. Immediately following "Ruffles and Flourishes," the president raps the gavel once to call the mess to order. He or she then directs the color guard to post the colors. If the colors are in place, the national anthem is played or sung immediately following the president's call to order. (A bugler may sound "To the Colors" instead of the national anthem.)

5.14.3.2. The manner in which the colors are posted and the playing of the national anthem can set the tone for the entire evening. A darkened room with a spotlight on the flag as the color guard carries it into the room and a soloist singing the national anthem with no background music can be a dramatic and moving event. However, drama can also be taken too far, so keep it as simple as possible.

5.14.3.3. Following the national anthem, the color guard departs the room. Because protocol does not require the colors (once posted) be retired, it is acceptable to dismiss the color guard at this time. (Most units now provide meals for the color guard.)

5.14.3.4. After the color guard departs or is seated, the president asks for the invocation and members of the mess and guests remain standing for the toasts.

5.14.4. Toasting:

5.14.4.1. The custom of toasting is universal. Toasting

came into wide acceptance after the effects of poison were discovered. After two people, who may be antagonists, drank from the same source at the same instant but suffered no ill effects, a degree of mutual trust and rapport could be established. Discussion could then continue on a more cordial basis. Today, a toast is a simple courtesy to an honored person.

5.14.4.2. Toasts are proposed in sequence and at intervals during the program. The president proposes the first toast. If a toast to the colors is to be made, it is always the first toast. In this case, members of the mess respond, "to the colors." The next toasts are to the heads of state of the Allied Nations represented by mess members. The toasts are made in order of seniority of Allied officers present. Remember, Commonwealth nations toast the sovereign, not an elected official. At some locations, there may be a number of Allied officers present. In this case, it is appropriate to collectively propose a toast to the heads of state of all Allied Nations represented by mess members. Consult the local protocol office or individual Allied officer for the proper terminology to use when toasting heads of state.

5.14.4.3. After the president of the mess toasts the head of each Allied Nation represented by a mess member, the senior Allied officer then proposes a toast to the President of the United States. The response is "to the President." If no members from Allied Nations are present, the president of the mess proposes the toast to the Commander in Chief. The response is the same, "to the President."

5.14.4.4. Following the president's or senior Allied officer's toast, Mister or Madam Vice proposes a toast to the Air Force Chief of Staff. The response is "to the Chief of Staff." A toast to the Chief of Staff of other Services is appropriate if officers of that service are present. The senior-ranking sister Service officer then proposes a toast to the Chief of Staff, US Air Force. It is also appropriate at a Dining-In conducted by enlisted people to toast the CMSAF and senior enlisted chiefs of other represented Services. The response is "hear, hear!"

5.14.4.5. If a POW or MIA table is included, it is proper to propose a toast "to our POWs and fallen comrades." This toast, called "one more roll," is with water only and can be proposed by the president, vice president, or other designated member of the mess. Following the formal toasts, the president seats the mess with one rap of the gavel.

5.14.4.6. Excessive toasting can make for a long evening. While other toasts may be appropriate, too many toasts can cause the evening to run behind schedule and dampen the enthusiasm of the mess. Also, it is *improper* to drain the glass for each toast. A mere touch of the glass to the lips satisfies the ceremonial requirements.

5.14.4.7. Informal or impromptu toasts are also an important part of the occasion. They should be humorous, but in good taste.

5.14.5. Opening Remarks. Besides setting the tone for the evening, the president's remarks provide the opportunity to officially welcome guests. After introducing those seated at the head table, the president should either personally introduce the remaining distinguished guests or poll the officer and NCO escorts. After the president recognizes official and distinguished guests, Mister or Madam Vice proposes a toast to the guests. Members of the mess stand; guests remain seated. The response to this and all future toasts is "hear, hear!" The president then seats the mess and invites the members to eat.

5.14.6. Dinner:

5.14.6.1. Meals are always served to the head table first. At other tables, the highest-ranking persons are served first. Although this normally means junior members are served last, Mister or Madam Vice is an exception and should be served immediately after the head table. With the toasts and other activities, the president and vice president will not have time to eat unless served early.

5.14.6.2. The president can limit toasts to permit members to eat. Before serving the entree, the president may add some humor by asking Mister or Madam Vice to sample the meal to make sure it is fit for consumption. The vice president may compose an ode or poem to the meal. There are numerous variations best left to the planning committee's and/or president's imagination.

5.14.7. The Grog Bowl:

5.14.7.1. Although most organizations use a grog bowl, it is not mandatory. The planning committee determines the bowl's contents. However, the contents should be nonalcoholic so as to not dampen the spirits and participation of individuals who do not consume alcoholic beverages. An option is to have two grog bowls—one with alcohol and one without. Some organizations conduct a "grog-mixing ceremony" during which Mister or Madam Vice mixes the contents of each bowl while reciting a humorous narrative.

5.14.7.2. At various points during the evening, a member may be sent to the grog bowl as punishment for violating the rules of the mess. Some of the more common violations are arriving late at the cocktail lounge, carrying drinks into the dining room, toasting with an unfilled glass, or discussing business (referred to as "opening the hangar doors"). Certain members seem to be frequent violators. Mister or Madam Vice is one such person. It is also not uncommon for the president and the guest

speaker to be charged with at least one violation. If the president must temporarily leave the head table, he or she must appoint another person to assume the president's role. If the president fails to appoint someone, the position automatically falls to the next senior official at the head table.

5.14.7.3. The president, vice president, or any member of the mess can note infractions warranting a trip to the grog bowl at any time. Members bring infractions to the president's attention by raising a point of order. If the validity of the charge is in question, members vote by tapping their spoons on the table. (Hand-clapping is not allowed at a Dining-In.) When the president directs a violator to the grog bowl, the individual must perform the correct procedure (usually outlined in the program).

5.14.8. Recess. At the scheduled time, the president raps the gravel twice and announces a short recess to enable the facility's staff to clear the dishes and serve dessert. Members go to the cocktail lounge, where the bar is open.

5.14.9. Reconvening the Mess. After recess, Mister or Madam Vice sounds the chimes and directs everyone to return to the dining room and remain standing until the head table enters. Once the head table is in place, the president raps the gravel once to seat the mess. (Again, members should not take drinks into the dining room.) Members then partake of dessert and coffee or tea.

5.14.10. Recognition and Awards. Immediately after dessert is an appropriate time for individual recognition (promotion, quarterly or annual awards, etc.) or unit awards. A toast may also be appropriate at this time.

5.14.11. Guest Speaker's Address. After recognition and awards, the president introduces the guest speaker. The speaker's address typically lasts 15 to 20 minutes and is patriotic and/or entertaining. On completion of the address, the president thanks the guest speaker and presents a small token of appreciation (paragraph 5.13.12.4). The president then asks the vice president to propose a toast to the guest speaker.

5.14.12. Closing the Mess:

5.14.12.1. The president recognizes those who organized the Dining-In and thank Mister or Madam Vice. The color guard may then retire the colors. The president encourages everyone to stay and enjoy themselves (if there is post-dinner entertainment) and then adjourns the mess with two raps of the gavel.

5.14.12.2. Members remain at the Dining-In until the guest of honor and the president leave. The president may allow members to leave at their own discretion if the guest of honor or president plans to stay an extensive time. Some unobtrusive signal, such as casing the unit flag, is an appropriate means of notifying members the evening's activities are over. Traditionally, Mister or Madam Vice is the last member to leave the Dining-In.

5.15. Post-Dinner Entertainment. The adjournment is a signal for the vice president to open the informal part of the program. ***NOTE:*** An orchestra for dancing may be appropriate entertainment, but the arrangements officer or NCO and the vice president must work within the guidelines the president sets.

5.16. A Final Word. A Dining-In or Dining-Out is held so members of an organization can have a good time together. However, the following cautions should be observed: (1) do not go overboard with expenses—a good time does not have to be costly, and (2) prepare an agenda and stick to it. The formal portion should be well planned and kept on schedule. A formal program that lasts between 2 and 2 1/2 hours is ideal and allows sufficient time for informal entertainment. Too much entertainment can make the evening drag on, causing members to remember the event's length rather than its success.

5.17. Conclusion. Protocol is a code prescribing strict adherence to correct etiquette and precedence. This chapter helped provide direction on the conduct of Air Force personnel during personal, national, and international affairs. The generally accepted elements, units, bases, and MAJCOM protocol procedures to meet special needs were discussed. Though only guidelines, the information in this chapter can help avoid protocol pitfalls.

Chapter 6

PROFESSIONALISM

As members of the joint team, we airmen are part of a unique profession that is founded on the premise of service before self. We are not engaged in just another job, we are practitioners of the profession of arms. We are entrusted with the security of our nation, the protection of its citizens, and the preservation of its way of life. In this capacity, we serve as guardians of America's future. By its very nature, this responsibility requires us to place the needs of our service and our country before personal concerns. Our military profession is sharply distinguished from others by what Gen Sir John Hackett has termed the "unlimited liability clause." Upon entering the Air Force, we accept a sacred trust from the American people. We swear to support and defend the Constitution of the United States against all enemies, foreign and domestic. We take this obligation freely without any reservations. We thereby commit our lives in defense of America and her citizens should that become necessary. No other profession expects its members to lay down their lives for their friends, families, or freedoms. But our profession readily expects its members to willingly risk their lives in performing their professional duties.

General Ronald R. Fogleman (Ret)
Former Chief of Staff, United States Air Force

6.1. Introduction. Professionalism is a fluid term. There is no one authority on what a profession is or what it takes to be a professional. Merriam-Webster's Collegiate dictionary defines a profession as "a calling requiring specialized knowledge and often long and intensive academic preparation." It also defines a professional as "characterized by or conforming to the technical or ethical standards of a profession." As the words of General Fogleman stated above, Air Force members are in the profession of arms. This chapter will discuss why the military is a profession, two different views on professionalism, and professional integrity.

6.2. Why the Military is a Profession:

6.2.1. The sociologist, Harold Wilensky, asserts a profession begins when people "start doing full-time the thing that needs doing" and then continue by establishing schools, setting standards, providing longer training, demanding commitment to the profession and the group, promoting and creating a professional association, and finally, establishing a code of ethics, eliminating internal competition, and protecting the client. Several factors—including the emphasis on deterrence, expansion of the Air Force's mission overseas, pace of technological innovation, convergence of corporate and military personnel theories, and need to retain career personnel—forged an environment from which the professionalization of the Air Force NCO evolved.

6.2.2. The Air Force established NCO academies and revised and modernized NCO directives. NCOs were given more jurisdictional control over other enlisted members. A growing need to establish a nation-wide identity was met when NCOs from all services organized the Noncommissioned Officers Association (NCOA) in 1960 and Air Force NCOs formed the Air Force Sergeants Association in 1961.

6.2.3. Thus, the NCO profession came to be based on an NCO's ability to understand and apply leadership and management theory to military situations. As for social responsibility, implicit in the airmen's enlistment oath is dedication to the state and to the good of society. Furthermore, NCOs have been involved in establishing criteria for the certification and evaluation of their own membership and have developed a strong sense of group identity (corporateness).

6.3. Views on Professionalism:

6.3.1. Samuel P. Huntington's View. A leading expert in civil-military relations, Samuel P. Huntington outlines distinguishing characteristics of a profession as a special type of vocation; expertise, responsibility, and corporateness.[8]

6.3.1.1. Expertise. The professional is an expert with specialized knowledge and skill in a significant field of human endeavor. Only by prolonged education and experience is the expertise acquired. It is the basis of objective standards of professional competence for separating the profession from laymen and measuring the relative competence of its members of the profession. Such standards are universal. They inhere in the knowledge and skill and are capable of general application irrespective of time and place. The ordinary skill or craft exists only in the present and is mastered by learning a technique without reference to what has gone before.

[8] Samuel P. Huntington, "The Soldier and the State, the Theory and Politics of Civil-Military Relations."

6.3.1.1.1. Professional knowledge is intellectual in nature and capable of preservation in writing. Professional knowledge has a history, and some knowledge of that history is essential to professional competence. Institutions of research and education are required for the extension and transmission of professional knowledge and skill. Contact is maintained between academic and practical sides of a profession through journals, conferences, and the circulation of personnel between practice and teaching.

6.3.1.1.2. Professional expertise also has a dimension in breadth which is lacking in a normal trade. It is a segment of the total cultural tradition of society. The professional can successfully apply his skill only when he is aware of this broader tradition of which he is part. Learned professions are "learned" simply because they are an integral part of the total body of learning of society. Consequently, professional education consists of two phases—the first imparts a broad, liberal, cultural background, and the second imparts the specialized skills and knowledge of the profession.

6.3.1.2. Responsibility. The professional is a practicing expert, working in a social context, and performing a service which is essential to the functioning of society. The client of every profession is society, individually or collectively. The essential and general character of his service and his monopoly of his skill impose upon the professional the responsibility to perform this service when required by society. This responsibility distinguishes the professional from other experts with only intellectual skills.

6.3.1.2.1. The research chemist, for example, is still a research chemist if he uses his skills in a manner harmful to society. But the professional can no longer practice if he refuses to accept his social responsibility, and a physician ceases to be a physician if he uses his skills for antisocial purposes. The responsibility to serve and the devotion to his skill furnish the professional motive. Financial remuneration cannot be the primary aim of the professional. Consequently, professional compensation normally is only partly determined by bargaining on the open market and is regulated by professional custom and law.

6.3.1.2.2. The performance of an essential service not regulated by the normal expectation of financial rewards requires some statement governing the relations of the profession to the rest of society. Conflicts between the professional and his clients, or among members of the profession, normally furnish the immediate impetus to the formulation of such a statement. The profession thus becomes a moral unit positing certain values and ideals which guide its members in their dealings with laymen. This guide may be a set of unwritten norms transmitted through the professional educational systems or it may be codified into written canons of professional ethics.

6.3.1.3. Corporateness. The members of a profession share a sense of unity and consciousness of themselves as a group apart from laymen. This collective sense has its origins in the lengthy discipline and training necessary for professional competence, the common bond of work, and the sharing of a unique social responsibility. The sense of unity manifests itself in a professional organization which formalizes and applies the standards of professional competence and establishes and enforces the standards of professional responsibility.

6.3.1.3.1. Membership in the professional organization, along with the possession of special expertise and acceptance of special responsibility, thus becomes a criterion of professional status, publicly distinguishing the professional from the layman.

6.3.1.3.2. Professional organizations are generally either associations or bureaucracies. In the associational professions, such as medicine and law, the practitioner typically functions independently and has a direct personal relationship with his client. The bureaucratic professions, such as diplomatic service, possess a high degree of specialization of labor and responsibilities within the profession, and the profession as a whole renders a collective service to society as a whole.

6.3.1.3.3. These two categories are not mutually exclusive. Bureaucratic elements exist in most associational professions and associations frequently supplement the formal structure of bureaucratic professions. The associational professions usually possess written codes of ethics because each practitioner is individually confronted with the problem of proper conduct toward clients and colleagues. The bureaucratic professions, on the other hand, tend to develop a more general sense of collective professional responsibility and the proper role of the profession in society.

6.3.2. Bernard Barber's View. Although there are various approaches and the matter is controversial, a model discussed by Bernard Barber more than 30 years ago may be useful in discussing professions. Barber describes the attributes of a profession through a description of professional behavior.[9] An understanding of the four attributes is essential. Barber's definition:

> *Professional behavior may be defined in terms of four essential attributes: a high degree of generalized and systematic knowledge; primary orientation to the community interest rather than to individual self-interest; a high degree of self-*

[9] Bernard Barber, "Some Problems in the Sociology of the Professionals," *Daedalus*, Volume 92, No. 4, pp. 669-687.

control of behavior through codes of ethics internalized in the process of work socialization and through voluntary associations organized and operated by the work specialists themselves; and a system of rewards (monetary and honorary) that is primarily a set of symbols of work achievement and thus ends in themselves, not means to some end of individual interest.

6.3.2.1. Generalized and Systematic Knowledge. Every occupation has a type and level of knowledge. The application of that knowledge and advice regarding its application are what distinguishes it from other occupations and gives its members livelihood. Professions, in particular, have a high degree of generalized and systematic knowledge. Members of professions have the sort of knowledge and practice the kinds of skills not generally found in the population outside the profession.

6.3.2.1.1. Members of a profession "profess" to have a greater degree of expertise on the issues related to their chosen profession than the public at large. Consequently, professionals "claim the exclusive right to practice, as a vocation, the arts which they profess to know, and to give the kind of advice derived from their special lines of knowledge."

6.3.2.1.2. NCOs have the sort of knowledge and practice the kinds of skills not generally found in the population outside the profession. Even though some Air Force specialties involve knowledge and skills commonly found in the civilian community, many specialties do not; for example, intelligence, command and control, and maintenance (due to the type of aircraft being maintained) specialties. Regardless of the specialty, all NCOs must acquire and develop other generalized and systematic knowledge not found in the public at large.

6.3.2.1.3. There are also specific SNCO responsibilities that reflect this generalized and systematic knowledge. Enlisted professional military education (EPME) is one of the main sources used to provide enlisted members with generalized and systematic knowledge. Enlisted members (primarily NCOs) develop, manage, and conduct EPME programs. Before the assumption of a higher grade and the commensurate increase in responsibility, all enlisted personnel must attend EPME courses.

6.3.2.1.4. SNCOs must seek every opportunity for professional development, including enhancing their leadership and managerial skills by completing the US Air Force Senior NCO Academy. The SNCO should also seek a well-rounded formal education as an integral part of preparing for increased responsibilities. Both on- and off-duty educational programs are valuable. To the maximum extent possible, SNCOs should also complete a CCAF degree or other voluntary military-sponsored educational programs. Clearly, NCOs possess a high degree of generalized and systematic knowledge as discussed in Barber's model. How they use it emphasizes the next attribute.

6.3.2.2. Community Orientation. Generalized and systematic knowledge can provide professionals with a great degree of control over society. This reality has serious implications regarding the interests served through the use of the knowledge a professional possesses. According to Barber:

Since generalized and systematic knowledge provides powerful control over nature and society, it is important to society that such knowledge be used primarily in the community interest. Where such knowledge exists, orientation primarily to community rather than individual interest is an essential attribute of professional behavior. Individual self-interest is, of course, not utterly neglected in professional behavior, but it is subserved indirectly.

6.3.2.2.1. Nowhere is the NCO's commitment to the community interest made clearer than in the oath of enlistment:

I _____ do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign or domestic; that I will bear true faith and allegiance to the same; and that I will obey the orders of the President of the United States and the orders of the officers appointed over me, according to regulations and the Uniform Code of Military Justice. So help me God.

6.3.2.2.2. The *NCO Creed* also emphasizes the NCO's community orientation. It challenges NCOs to conduct themselves in a manner that will always bring credit upon the NCO corps. It warns NCOs against using their "grade or position to attain profit or safety." It also states NCOs must obey the highest standards of ethics: "I will not compromise my integrity nor my moral courage. I will not forget that I am a professional, I am a leader—I am a noncommissioned officer."

6.3.2.2.3. Another stark reminder of the community orientation of military professionals is contained in the words of Article I of the Code of Conduct: "I am an American, fighting in the forces which guard my country and our way of life. I am prepared to give my life in their defense." These words illustrate the total commitment to society each NCO has made in choosing to serve as a military professional.

6.3.2.2.4. Society devotes extremely scarce resources (tax dollars) to the pursuit of national security. As the stewards of these dollars, NCOs must be sure they are spent as wisely as possible. To spend them unwisely is to divert resources away from national defense and has the potential to undermine society's trust in the military. This is why the Air Force and DoD have strict rules to control fraud, waste, and abuse.

6.3.2.2.5. It is also understandable that society expects the military to safeguard national secrets and weapons of mass destruction. Any disclosure of classified information is intolerable, no matter what the circumstances; and individuals entrusted with vital resources must meet stringent stability and reliability standards. Anyone with a history of emotional disturbance, illegal activity, or drug abuse is denied access to national security information.

6.3.2.2.6. Community orientation also necessitates that NCOs avoid any action that would lead society to question their allegiance or willingness to respond to society's demands. Society has good reason to question a person's allegiance if that person belongs to a group that advocates overthrowing the government that society has chosen. This is also why the Air Force prohibits certain public statements or conduct while in the public eye. Society is right to question behavior that challenges public authority over the US Armed Forces or suggests a military member has little or no respect for the civilian community.

6.3.2.2.7. Community orientation also helps explain the existence and importance of the UCMJ. Society places such a high premium on military service that it authorizes the use of criminal penalties to enforce member's responsibility. Military professionals must do as society asks, when and where society directs that it be done, or face the consequences. Failure to fulfill any and all responsibilities is punishable under the UCMJ, and NCO responsibility includes using the UCMJ to ensure subordinates do their job. This leads directly to the third attribute of professional behavior, self-control of behavior.

6.3.2.3. Self-Control of Behavior. Not only is self-control of behavior a natural outgrowth of community orientation, it is also linked to the first characteristic of professional behavior identified by Barber—a high degree of generalized and systematic knowledge:

> *Social control depends in part, obviously, upon substantive understanding of the behavior to be controlled. In the case of behavior characterized by a high degree of knowledge, the requisite understanding is available in full measure only to those who have themselves been trained in and apply that knowledge. It follows that some kind of self-control, by means of internalized codes of ethics and voluntary in-groups, is necessary. In the realms of professional behavior, such codes and such associations for the setting and maintaining of standards proliferate. Further controls on professional behavior exist, of course, in the informal agencies of public opinion and in government-legal agencies. But these other forms of social control are less important than in nonprofessional areas.*

6.3.2.3.1. The traditionally recognized professions mentioned in this chapter—particularly doctors and lawyers—clearly provide good examples of self-control of behavior considering the important roles played by the American Medical Association and the American Bar Association. Although not as widely recognized, the same characteristic exists in the US Armed Forces.

6.3.2.3.2. There are numerous aspects of the NCO corps that illustrate the desire to police the ranks. One of the most obvious is the principle of using the chain of command to resolve problems at the lowest level possible. Most NCOs agree they would rather have enlisted members handle enlisted member's problems. Attempting to resolve problems at the lowest level helps facilitate this. SNCOs must devote total effort in resolving the causes of any problem before it becomes a major issue.

6.3.2.3.3. NCOs must also appreciate the enormous responsibility they have for the self-control of behavior. In addition to the responsibilities already mentioned, they must:

6.3.2.3.3.1. Exercise leadership by example by being alert to correct personnel who violate military standards.

6.3.2.3.3.2. Counsel members if on- or off-duty conduct may be detrimental to their health and/or safety. Instruct personnel to observe safe practices in daily operations and enforce the standards and regulations.

6.3.2.3.3.3. Promote and employ techniques to eliminate or reduce the number and frequency of mishaps on and off duty.

6.3.2.3.3.4. Observe, counsel, and correct duty performance, professional relationships, and personal appearance on and off duty.

6.3.2.3.3.5. Ensure appropriate action is taken when behavior or duty performance is marginal or substandard.

6.3.2.3.3.6. Support and promote an overall understanding of Air Force policy regarding physical fitness for total well-being.

6.3.2.3.3.7. Take the lead in achieving, maintaining, and

enforcing Air Force standards as well as good order and discipline.

6.3.2.3.4. These varied responsibilities pose quite a challenge to each and every NCO. There are also formal positions and organizations that were established to aid in the self-control of professional behavior. Among other reasons, CCM, first sergeants, unit advisory councils, enlisted PME graduate associations, "Top 3" associations, chiefs groups, and the Air Force Association's Enlisted Council exist to assist in the self-control of the professional behavior of the enlisted corps. Many of the positions and participation in the organizations are voluntary, which further illustrates the NCO's commitment to self-control of behavior.

6.3.2.3.5. The *NCO Creed* also contains striking evidence that NCOs accept professional responsibility for the self-control of behavior. Although several versions exist, all express the NCO's intent to self-regulate. The creed is often read at recognition, NCO promotion, and "Top 3" induction ceremonies. It is framed and hung on walls all over the world, and SNCOs recommend the creed to junior personnel as worthy words to live by. It is nothing less than a statement of professional ethics that underscores the NCO's recognition and acceptance of professional responsibility, as the opening words illustrate:

> *No one is more professional than I. I am a noncommissioned officer, a leader of people. I am proud of the noncommissioned officer corps and will at all times conduct myself so as to bring credit upon it.*

6.3.2.3.6. These words declare the NCO's commitment not only to assist in the self-control of the behavior of the NCO corps as a whole (as discussed earlier); but, more specifically, to a commitment to personal self-control. As professional behavior is successfully controlled, the fourth attribute of professional behavior discussed by Barber—a system of rewards—is realized.

6.3.2.4. System of Rewards. There are numerous ways to reward occupational behavior. Salary, general prestige, specific honors, and symbols of achievement are social rewards for occupational performance. Not all are useful in rewarding individual self-interest, nor in rewarding community interest. Given the community interest emphasis in professional behavior discussed earlier, it would seem obvious that any system of rewards for professionals would focus on rewards appropriate for community interest. Barber clarifies this issue:

> *Since money income is a more appropriate reward for individual self-interest, and since prestige and honors are more appropriate for community interest, these latter types of reward are relatively more important in professional than in nonprofessional behavior. The actual reward system in the professions tends to consist, therefore, in a combination of prestige and titles, medals, prizes, offices in professional societies, and so forth, together with sufficient monetary income for the style of life appropriate to the honor bestowed. Although the professions are not so well paid, on the whole, as equal-ranking business roles in American society, all studies show that the public ranks the professions at the top of the occupational prestige hierarchy and that professionals themselves are more satisfied with their work-rewards than are other occupational groups.*
>
> *Organizations that employ professionals can usually create opportunities for them to achieve professional rewards while still serving the primary needs of the organization. Among these professional facilities and rewards are the opportunities to participate in professional association meetings...to continue professional training through tuition subsidies and leaves of absence, to be a member of a strong professional group on the job itself . . . .*

6.3.2.4.1. Few NCOs would disagree with Barber's observation that, as a profession, the enlisted corps are "not so well paid." But there are other, more positive elements of this characteristic. The phrase "rank has its privileges" is familiar to virtually all NCOs. This, in part, describes the prestige associated with progressing in the profession, particularly into the SNCO grades. The concept is formalized with the declaration of the intended role and use of SNCOs.

6.3.2.4.2. As specified in AFI 36-2618, *The Enlisted Force Structure*, SNCOs are assigned only those duties commensurate with their skill level and status. Primary roles include leader, supervisor, and manager of a flight, function, or activity. In this regard, SNCOs are used as a chief of a flight, section, or superintendent of a division or unit, or, in special circumstances, as a detachment chief or commandant. Every consideration should be given to avoid oversupervision created by establishing unnecessary managerial levels. Additionally, senior SNCOs should be allowed to exercise leadership and manage resources under their control.

6.3.2.4.3. The role of and proper use of senior NCOs also represents that element of a system of rewards Barber calls being "employed full time on strictly professional work." SNCOs recognize, however, that mission requirements may necessitate that they fulfill other roles to ensure mission accomplishment. Professionalism dictates

that they carry out all duties and responsibilities on a timely basis, with a minimum of supervision.

6.3.2.4.4. NCOs also have numerous opportunities to participate in professional association meetings and be members of a strong professional group on the job itself. Some of the organizations mentioned earlier—EPME Graduates Association and "Top 3" Association—allow NCOs to participate in, as well as occupy, leadership positions in professional associations. The Air Force Sergeants' Association, the NCOA, and the Air Force Association also provide avenues for participation in professional associations.

6.3.2.4.5. The opportunity "to continue professional training through tuition subsidies and leaves of absence" is available to NCOs. In addition to educational benefits provided by the Montgomery GI Bill, all enlisted members may also take advantage of tuition assistance while on active duty. It is also possible to continue formal education while on permissive TDY through the Bootstrap Education Program. Many NCOs continue their professional training by attending various professional meetings and seminars, often funded by the Air Force and attended while on duty.

6.3.2.4.6. There are also the more obvious elements of the system of rewards; individual awards and decorations, quarterly and annual unit recognition programs, and annual Air Force-level recognition programs, such as the Twelve Outstanding Airmen of the Year Program. This particular program is unique in that it combines the elements of formal recognition with the opportunity to participate in a professional association. Airmen, NCOs, and SNCOs selected as the Twelve Outstanding Airmen of the Year also serve as members of the Air Force Association's Enlisted Council during the year they are recognized. It is important for NCOs to appreciate and appropriately recognize and reward those under their supervision who display military conduct, bearing, and performance clearly exceeding established standards. As discussed, there is clearly a system of rewards within the enlisted corps that meets Barber's fourth attribute of a profession.

6.4. Professional Integrity. The very existence of the professions results from some fundamental need that society has, and it is likely to be an eternal need. Society knows how important security is to our nation-state so we provide military academies and military training for the members of the military profession. No member of the professions can escape these ties to the community because they constitute the very reason for the existence of the professions. Thus, professional integrity begins with this necessary responsibility to serve the fundamental needs of the community.

6.4.1. The community makes possible the opportunity for a person to become qualified in a given profession and usually allows professionals the authority to set the standards of competence and conduct of its members. Professional integrity derives its substance from the fundamental goals or mission of the profession. For the military profession, we might broadly describe that mission as the preservation and protection of the way of life deemed worth preserving. Just as in medicine one violates professional integrity by performing surgical procedures that are not medically indicated in order to increase the surgeon's income, so too engaging in operations that are not militarily necessary in order to reflect glory on the commander would also be a breach of professional integrity.

6.4.2. In the military, as in all professions, the issue of competence is directly relevant to professional integrity. Because human life, national security, and expenditures from the national treasury are so frequently at issue when the military acts, the obligation to be competent is not merely prudential. That obligation is a moral one, and culpable incompetence here is clearly a violation of professional integrity.

6.4.3. Part of the social aspect of professional integrity involves the joint responsibility for conduct and competence shared by all members of the profession. Only fellow professionals are capable of evaluating competence in some instances; hence, fellow professionals must accept the responsibility of upholding the standards of the profession. Fellow NCOs can spot derelictions of duty, failures of leadership, failures of competence, and the venalities of conduct that interfere with the goals of the military mission. Often, the obligations of professional integrity may be pitted against personal loyalties or friendships; and, where the stakes for society are so high, professional integrity should win out.

6.4.4. The military profession has many codes, regulations, mottoes, and traditions, which combine to form a military ethic on which professional integrity is based. When we say we value integrity first, service before self, and excellence in all that we do, we acknowledge that the essential nature of the military profession is to serve our parent society. We make specific our commitment to the conception that good airmen are good persons. What we should mean when we commit ourselves to "integrity first" is that we understand the importance of both personal integrity and professional integrity; and, through our efforts to keep them compatible, we will best provide the crucial military function to our society.

6.5. Conclusion. There is no one authority on what a profession is or what it takes to be a professional. Just as a general is expected to be more professional than a second

lieutenant, so is a CMSgt expected to be more professional than a newly promoted SSgt. This chapter included information on why the military is a profession, different views on professionalism, and professional integrity.

If you would be successful in our profession in the United States Air Force, then take your lead from those who have gone before. Make unflinching honesty and integrity the hallmarks of your performance. Aggressively pursue excellence in all that you do. And place service before self.

General Ronald R. Fogleman (Ret)
Former Chief of Staff, United States Air Force

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Chapter 7

LEGAL ISSUES

7.1. Introduction. The Air Force mission is "to defend the United States and protect its interests through aerospace power." While no one disputes getting the mission done is job one, many aspects of carrying out that job involve legal issues. Such issues play an important part in the life of every SNCO. For example, familiarity with the law assists SNCOs when addressing disciplinary matters and tackling a wide assortment of administrative problems. To prepare SNCOs for greater responsibilities, this chapter examines the evolution of our military justice system, its constitutional underpinnings, the jurisdiction of military courts, the commander's involvement in the process, the roles of the parties in the adversarial system, post-trial matters and appellate review, and assorted punitive articles of the UCMJ. This chapter also covers various administrative law matters.

7.2. Evolution of the Military Justice System:

7.2.1. The strength of the military depends on disciplined service members being ready to fight and win our nation's wars. Military justice strengthens national security by providing commanders with an efficient and effective means of maintaining good order and discipline. It is a separate criminal justice system that does not look to the civilian courts to dispose of disciplinary problems. As a separate system, it allows the military to handle unique military crimes that civilian courts would be ill-equipped to handle.

7.2.2. In addition, a separate system enables the military to address crimes committed by its members at worldwide locations in times of war and peace. The military needs a justice system that goes wherever the troops go to provide uniform treatment regardless of locale or circumstances. No other judicial system in the US provides such expansive coverage. As our separate military justice system has evolved, it has balanced two basic interests; discipline (essential to war-fighting capability) and justice (a fair and impartial system essential to the morale of those serving their country).

7.2.3. While military justice can be traced back to the time of the Roman armies, the historical foundation for the US military law and criminal justice system is the 1774 British Articles of War. In fact, the first codes predated the US Constitution and Declaration of Independence. These codes were the Articles of War, applicable to the Army, and the Articles for the Government of the Navy. Through the WWI, these codes went through some amendments and revisions, but were substantially unchanged for more than 100 years. Throughout most of this time period, the US had a very small standing military. Those who entered the military understood they were going to fall under a different system of justice with unique and different procedures and punishments. While some people had bad experiences with the military justice system as it existed at that time, overwhelming demand for change did not exist.

7.2.4. This changed with WWII when the US had over 16 million men and women serving in the US Armed Forces. Incredibly, there were about 2 million courts-martial during the war. More than 60 general courts-martial convictions were conducted every day the war was fought for a total of about 80,000 felony court convictions during the war.

7.2.5. The soldiers and sailors of WWII were regular citizens who volunteered or were drafted. Many of these citizens had some very unpleasant experiences with the military justice system, which looked quite different than it does today. It was a system that did not offer members the protections afforded by the civilian courts system, and many American citizens disapproved of the way criminal laws were being applied in the military. Following the war, many organizations studied and made proposals to improve the military criminal legal system and Congressional hearings on the military justice system were conducted.

7.2.6. After unification of the armed services under the DoD in 1947, Secretary Forrestal, the first Secretary of Defense, decided there should not be separate criminal law rules for the different branches of service. He desired a uniform code that would apply to all services and address the abuses from WWII. His efforts set the stage for a new uniform system of discipline. In 1950, Congress enacted the UCMJ, legislation contained in Title 10 of the United States Code, Sections 801 through 946. The UCMJ is the military's criminal code applicable to all branches of service.

7.2.7. The UCMJ became effective in 1951 and provided substantial procedural guarantees of an open and fair process that continues today. The UCMJ requires attorneys to represent the accused and the government in all general courts-martial, prohibits improper command influence, and creates the appellate court system. It establishes Air Force, Army, Navy, and Coast Guard boards of review as the first level of appeal in the military justice system and the United States Court of Military Appeals as a second level of appeal. Creation of the Court of Military Appeals, composed of civilian judges, was perhaps the most revolutionary change in military justice in America's history because it brought the checks and

balances of civilian control of the US Armed Forces into the military justice system. In October 1994, the Court of Military Appeals was renamed the US Court of Appeals for the Armed Forces (CAAF) to bring the name more in line with its civilian counterparts.

7.2.8. In addition to changing courts-martial process and procedures, the UCMJ provided a complete set of criminal laws. It includes many crimes punished under civilian law (for example, murder, rape, drug use, larceny, drunk driving, etc.), and it also punishes other conduct that affects good order and discipline in the military. Those unique military crimes include, for example, such offenses as desertion, absence without leave, disrespect towards superiors, failure to obey orders, dereliction of duty, wrongful disposition of military property, drunk on duty, malingering, and conduct unbecoming an officer. The UCMJ also includes provisions punishing misbehavior before the enemy, improper use of countersign, misbehavior of a sentinel, misconduct as a prisoner, aiding the enemy, spying, and espionage.

7.2.9. The UCMJ has been amended on a number of occasions. For example, the Military Justice Act of 1968 created the position of military judge, authorized trial by military judge alone, required an attorney to act as defense counsel in all special courts-martial when the authorized punishment included a bad conduct discharge, prohibited trial by summary court-martial if the accused objected, and changed Boards of Review to Courts of Review.

7.2.10. The next significant change was the Military Justice Act of 1983 which streamlined pre-trial and post-trial procedures, permitted direct appeal to the US Supreme Court from the US Court of Appeals for the US Armed Forces, and established a separate punitive article (112a) for drug offenses. In 1994, the Service Courts of Review were changed to the Courts of Criminal Appeals. Today's UCMJ reflects centuries of experience in criminal law and military justice and guarantees Service members rights and privileges similar to and, in many cases, greater than those enjoyed by civilians.

7.3. Constitutional Underpinnings. Two provisions in the US Constitution granting powers to the legislative and executive branches provide the legal foundation for our military justice system:

7.3.1. Powers Granted to Congress. The US Constitution, Article I, Section 8, provides that Congress is empowered to declare war, raise and support armies; provide and maintain a navy; make rules for the government and regulation of the land and naval forces; provide for calling forth the militia; for organizing, arming, and disciplining the militias; and for governing such part of them as may be employed in the service of the US. Congress is also responsible for all laws deemed necessary and proper for carrying into execution the foregoing powers and all other powers vested by the US Constitution in the US Government. Congress has exercised its responsibilities over military justice by enacting the UCMJ.

7.3.2. Authority Granted to the President. The US Constitution, Article II, Section 2, provides that the President serves as commander in chief of the US Armed Forces and of the militia of the states (National Guard) when called to federal service. By virtue of his powers as commander in chief, the President has the power to issue executive orders to govern the US Armed Forces as long as these orders do not conflict with any basic constitutional or statutory provisions. Article 36, UCMJ, specifically authorizes the President to prescribe the procedures, including rules of evidence, to be followed for various military tribunals. In accordance with Article 36, UCMJ, President Truman established the Manual for Courts-Martial (MCM) in 1951 to implement the UCMJ. The MCM, like the UCMJ, has undergone a number of revisions.

7.4. Jurisdiction of Military Courts. Courts-martial jurisdiction is concerned with the question of personal jurisdiction (Is the accused a person subject to the UCMJ?) and subject-matter jurisdiction (Is the conduct prohibited by the UCMJ?). If the answer is "yes" in both instances, then (and only then) does a court-martial have jurisdiction to decide the case.

7.4.1. Personal Jurisdiction:

7.4.1.1. Personal jurisdiction involves status. That is, the accused must possess the legal status of a service member or a person otherwise subject to the UCMJ before personal jurisdiction can attach.

7.4.1.2. Article 2, UCMJ, includes the following as persons subject to court-martial jurisdiction: (1) Members of a regular component of the Armed Forces, including those awaiting discharge after expiration of their terms of enlistment; (2) Cadets, aviation cadets, and midshipmen; (3) Members of a Reserve component while on inactive-duty training; but, in the case of members of the Army National Guard and Air National Guard, only when in Federal Service; (4) Retired members of a Regular component of the Armed Forces who are entitled to pay; (5) Persons in custody of the armed forces serving a sentence imposed by court-martial; (6) Prisoners of war in custody of the armed forces; and (7) In time of war, persons serving with or accompanying an armed force in the field.

7.4.1.3. The US Court of Appeals for the Armed Forces has held that the military lacked jurisdiction over civilian employees of the US Armed Forces during the Vietnam

Conflict for crimes committed within the combat zone. The court held that the phrase "in time of war," contained in Article 2, UCMJ, means a war formally declared by Congress. The US Supreme Court has also held that the military has no jurisdiction over civilian dependents of members of the US Armed Forces.

7.4.2. Subject-Matter Jurisdiction:

7.4.2.1. Courts-martial have the power to try any offense under the code except when prohibited from so doing by the US Constitution. Courts-martial have exclusive jurisdiction when a purely military offense is involved, such as desertion, failure to obey orders, and disrespect toward superiors. However, if the offense violates both the UCMJ and a civilian code, concurrent jurisdiction will exist. For example, if an active duty military member is caught shoplifting at an off-base merchant, the member can be tried by court-martial for larceny in violation of Article 121, UCMJ, or tried by the a civilian court for a theft offense recognized in the local jurisdiction.

7.4.2.2. The determination as to whether a military or a civilian authority will try the member is normally made through consultation or prior agreement between appropriate military authorities (ordinarily the staff judge advocate) and appropriate civilian authorities. While it is constitutionally permissible for a member to be prosecuted by both military and civilian authorities for the same act, as a matter of policy a person who is pending trial or has been tried by a state court ordinarily should not be tried by court-martial for the same act.

7.5. Commander Involvement:

7.5.1. Military commanders are responsible for maintaining law and order in the communities over which they have authority and for maintaining the discipline of the fighting force. Reports of crimes by service members ultimately come to their commander's attention from law enforcement or criminal investigative agencies, as well as reports from individual service members. One of the commander's greatest powers in the administration of military justice is the exercise of discretion—to decide how misconduct committed by a member of his or her command will be resolved. The commander may dispose of the case by taking no action, initiating administrative action against the member, offering the member nonjudicial punishment under Article 15, UCMJ, or preferring or initiating court-martial charges. The staff judge advocate is available to advise, but the commander ultimately decides how to dispose of alleged misconduct.

7.5.2. If the commander believes preferred charges should be disposed by court-martial, the charges are forwarded to the convening authority. Convening authorities are superior commanders or officials possessing the authority to convene courts-martial (wing and numbered Air Force commanders in most cases). A convening authority convenes a court-martial by issuing an order that charges previously preferred against an accused will be tried by a specified court-martial. The convening authority must personally make the decision to refer a case to trial; delegation of this authority is not allowed. Charges may be referred to one of three types of court-martial; summary, special, or general.

7.6. Roles of the Parties in the Adversarial System. In courts-martial, each side has legal counsel. Military counsel must be a judge advocate, a graduate of an accredited law school, and a member of the bar of a Federal court or the highest court of a state. In addition, counsel is certified to perform their duties by a Service's judge advocate general. The trial counsel prosecutes in the name of the US and presents evidence against the accused. The defense counsel represents the accused and seeks to ensure the accused's rights are protected.

7.6.1. Trial Counsel:

7.6.1.1. Trial counsel is similar to prosecutors in civilian criminal trials. They represent the government; and their objective is justice, not merely securing a conviction. They vigorously and forcefully present evidence they believe will persuade the court the accused committed the alleged offenses. They present evidence in support of the charges and argue the inferences most strongly supporting the charges.

7.6.1.2. Trial counsel also presents evidence and arguments to address defenses raised on behalf of the accused. This being said, it is unprofessional conduct for trial counsel to permit the continuance of the cause of action against the accused knowing the charges are not supported by probable cause. Additionally, trial counsel has an affirmative duty to disclose to the defense any evidence that negates the accused's guilt, mitigates the degree of guilt, or reasonably tends to reduce the punishment of the accused.

7.6.1.3. No person who has acted as accuser (one who prefers charges), investigating officer, military judge, or court member in any case may act later as trial counsel or assistant trial counsel in the same case. No person who has acted for the prosecution may act later in the same case for the defense, nor may any person who has acted for the defense act later in the same case for the prosecution.

7.6.2. Defense Counsel Representation:

7.6.2.1. In a trial by court-martial, the accused is entitled to military counsel free of charge. The accused may also hire a civilian lawyer at his or her own expense. An accused may request representation by a particular

military lawyer, and that officer will serve if he or she is reasonably available. Defense counsel will vigorously and forcefully defend the rights of the accused.

7.6.2.2. The area defense counsel (ADC) program, established in 1974, made the Air Force the first service to create a totally independent defense function. ADCs are assigned to the Air Force Judiciary, which falls under the Air Force Legal Services Agency in Washington, DC. Although assigned to all major bases, the ADC works for a separate chain of command and is responsible only to senior defense attorneys. The ADC does not report to anyone at base level, such as the wing commander or the staff judge advocate. This separate chain of command ensures undivided loyalty to the client.

7.6.2.3. ADCs are independent, competent counsel who work to protect individual rights and ensure the independent and aggressive representation of Air Force members facing military justice and other adverse actions, thereby promoting justice and strengthening confidence in discipline. The overall effect of the ADC program is to improve the quality of life and advance the Air Force mission. Most ADCs are selected from the local base legal office; but, to ensure further independence, they are not rotated back to the base legal office.

7.6.2.4. Before selection as an ADC, a judge advocate will be carefully screened for the proper level of judgment, advocacy skills, and courtroom experience. Additionally, each circuit has experienced trial advocates (circuit defense counsel) who travel within the circuit to assist in the defense of particularly complex courts-martial and to help train ADCs. ADCs are supported by defense paralegals, most of whom are enlisted personnel.

7.6.3. Military Judge. A military trial judge presides over each open session of the court-martial. Military trial judges are selected from highly qualified, experienced trial litigants. Neither the convening authority or any member of his or her staff prepares or reviews any performance report relating to the military judge. No person is eligible to act as military judge in a case if they were the accuser, are a witness for the prosecution, or have acted as investigating officer or a counsel in the same case. The military judge of a court-martial may not consult with the members of the court except in the presence of the accused, trial counsel, and defense counsel, nor may he or she vote with the members of the court.

7.6.4. Court Members:

7.6.4.1. Members detailed to a court-martial are those persons who, in the opinion of the convening authority, are best qualified for the duty by reason of their age, education, training, experience, length of service, and judicial temperament.

7.6.4.2. Courts will only be composed of officers unless the accused is an enlisted member and makes a timely request that enlisted members be included on the court. If enlisted members are requested, the accused must be tried by a court comprised of at least one-third enlisted personnel.

7.6.4.3. Court members determine whether the accused is proved guilty and, if necessary, adjudge (decide) a proper sentence, based on the evidence and in accordance with the instructions of the military judge. No member may use grade or position to influence another member.

7.6.5. Ethical Standards. Both trial and defense counsel are bound by ethical standards. These standards are many and cover a variety of matters. For example, counsel may not:

7.6.5.1. Present testimony known to be perjured or other evidence known to be false.

7.6.5.2. Intentionally misrepresent any piece of evidence or matter of law.

7.6.5.3. Unnecessarily delay or prolong the proceedings.

7.6.5.4. Obstruct communications between prospective witnesses and counsel for the other side.

7.6.5.5. Use illegal means or condone the use of illegal means in the obtaining of evidence.

7.6.5.6. Inject his or her own personal opinions or beliefs into arguments to the court.

7.6.5.7. Appeal to passion or prejudice.

7.6.5.8. Attempt to influence court members by currying favor or communicating privately with them.

7.7. Post-Trial Matters and Appellate Review:

7.7.1. Post-Trial Matters. The findings and sentence adjudged by a court-martial are not final until approved or disapproved by the convening authority. When taking action on a case, the convening authority must consider the results of trial, written recommendation of the staff judge advocate (required in all general courts-martial and all special courts-martial that include a bad conduct discharge), and written matters submitted by the accused. Convening authorities may also consider the record of trial, personnel records of the accused, and other matters the convening authority deems appropriate.

7.7.1.1. The convening authority may, but is not required

to, act on the findings. If the convening authority acts on the findings, he or she has discretion to set aside any finding of guilty and either dismiss any or all charges and specifications against an accused or direct a rehearing on them. The convening authority may also reduce a finding of guilty to a charged offense, to guilty to a lesser-included offense.

7.7.1.2. As to the sentence, the convening authority may (1) approve the sentence without change, (2) disapprove the sentence in whole or in part, (3) mitigate or suspend all or part of the sentence, or (4) change a punishment to one of a different nature as long as the severity of the punishment is not increased. The convening authority approves the sentence warranted by the circumstances of the offense and appropriate for the accused.

7.7.2. Appellate Review. Following the convening authority's action, there is appellate review. The type of appellate review depends upon the adjudged sentence.

7.7.2.1. The Judge Advocate General (TJAG) is the review authority in cases where the sentence does not include death, punitive discharge, or confinement for 1 year or more. TJAG may also elect to certify (refer) any case he or she reviews to the Air Force Court of Criminal Appeals (AFCCA). The AFCCA is an independent appellate judicial body authorized by Congress and established by TJAG pursuant to his or her exclusive authority under 10 United States Code 866(a) (1994). The court hears and decides appeals of Air Force court-martial convictions and appeals during litigation. Its usual contingent of nine appellate judges is assigned to the court by TJAG.

7.7.2.2. Unless appellate review is waived by an appellant, the AFCCA automatically reviews all cases involving a sentence that includes death, a punitive discharge, or confinement of 1 year or more. However, appellate review cannot be waived in death penalty cases. In this forum, the appellant is provided a military counsel (free of charge) who is an experienced trial advocate and a full-time appellate counsel. Civilian appellate counsel may be retained at the appellant's own expense. The government is represented by appellate government counsel.

7.7.2.3. The AFCCA, which must consist of a panel of at least three military judges, reviews the case for legal error and determines if the record of trial supports both the findings and sentence as approved by the convening authority. The AFCCA has the power to dismiss the case, change a finding of guilty to one of not guilty or guilty to a lesser included offense, reduce the sentence, or order a rehearing. However, it may not change a finding of not guilty to one of guilty. TJAG instructs convening authorities to take action in accordance with the court's decisions.

7.7.2.4. If the AFCCA rules against the appellant, he or she may request review by the five civilian judges of the CAAF. However, the CAAF grants this further review in only about 10 percent of the cases. The CAAF must review all death penalty cases and any other case directed by TJAG of each Service. Air Force appellate defense counsel remains available to assist the appellant before the CAAF. If an appellant's case is reviewed and relief is not granted by the CAAF, the appellant may petition the US Supreme Court for further review. The petition will be granted if at least four US Supreme Court justices vote to hear the case.

7.7.2.5. The Secretary of the Air Force automatically reviews cases involving dismissal of an Air Force officer or cadet. That portion of the sentence relating to dismissal cannot be executed until the Secretary, or appointed designee, approves the sentence.

7.7.2.6. If the sentence extends to death, the individual cannot be put to death until the President approves that part of the sentence. The President has clemency powers over all courts-martial cases and may commute, remit, or suspend any portion of the sentence. However, that part of the sentence providing for death may not be suspended.

7.8. Punitive Articles. This section focuses on unique military offenses that do not have a counterpart in civilian law.

7.8.1. Absence Offenses. For an armed force to be effective, it must have sufficient members present to carry out the mission. This can be accomplished only by deterring members from being absent without authority, whether the absences are permanent or temporary. The circumstances under which the absence occurs, as well as the intent of the accused, determines the severity of the offense. Absence offenses include desertion, absence without leave (AWOL), and failure to go.

7.8.1.1. Desertion:

7.8.1.1.1. Addressed in Article 85, UCMJ, desertion is the most serious of the absence offenses. It may occur under the following categories: (1) unauthorized absence with the intent to remain away permanently, (2) quitting the unit or place of duty to avoid hazardous duty or shirk important service, or (3) desertion by an officer before notice of acceptance of resignation. More severe punishment is authorized if the desertion is terminated by apprehension instead of a voluntary surrender or if the desertion occurs in wartime. Desertion may be charged as a capital offense (authorizing the death penalty) during wartime.

7.8.1.1.2. Intent to remain away permanently is the most commonly charged type of desertion. It requires the

specific intent to never return. The unauthorized absence may be from the accused's place of duty, unit, or organization. The specific intent to permanently remain away might exist at the beginning of the absence or may be formed at any time during the absence. Thus, when a member leaves without permission, intending to return after a period of time, but later decides never to return, the member has committed the offense of desertion. However, proving intent is often very difficult and may be determined by a number of factors, including the length of the absence, use of an alias, disposal of military identification and clothing items, concealment of military status, distance from duty station, and the assumption of a permanent-type civilian status or employment. The accused's voluntary return to military control is not a defense to desertion. The essential issue is whether, at any time, the accused formed the intent to remain away permanently.

7.8.1.2. Absent Without Leave (AWOL):

7.8.1.2.1. Article 86, UCMJ, addresses other cases where the member is not at the place where he or she is required to be at a prescribed time. This includes failure to go to the appointed place of duty; going from the appointed place of duty; absence from unit, organization, or other place of duty; abandoning watch or guard; and absence with intent to avoid maneuvers of field exercises.

7.8.1.2.2. Proving a failure to go to an appointed place of duty requires showing the accused actually knew he or she was required to be at the appointed place of duty at the prescribed time. The offense of going from the appointed place of duty requires proof the accused left his or her place of duty without proper authority, rather than failing to report in the first place. The accused must have reported for and begun the duty before leaving without proper authority.

7.8.1.2.3. Absence from the unit, organization, or other place of duty is a common AWOL charge. The authorized maximum punishment for this offense varies with the duration of the absence. The most severe sentence is a dishonorable discharge and confinement for 18 months, which may be imposed when the unauthorized absence exceeds 30 days and was terminated by apprehension.

7.8.1.2.4. "Impossibility" is a defense if the accused encountered unforeseeable circumstances beyond his or her control. For example, if Sergeant Jane Doe's authorized 10-day period of leave expired on 1 December and she failed to report to her unit until 3 December, she would not be guilty of AWOL if she could establish she was at a distant city and had purchased an airline ticket on a flight that was canceled due to a blizzard. Even though she has "impossibility" as a defense, she is not excused from calling her unit and requesting an extension of leave. "Impossibility" would not be a defense where a military member took space available transportation to Europe while on leave and then claimed she was unable to return on the date planned because she was unable to get space available transportation back when she had hoped.

7.8.1.2.5. Less frequently occurring absences include abandoning watch or guard and absence from the unit, organization, or place of duty with intent to avoid maneuvers or field exercises. In addition, Article 87, UCMJ, provides that missing a movement is an offense that applies when the member, through neglect or design, misses the movement of a ship, aircraft, or unit.

7.8.2. False Official Statements. Article 107, UCMJ, covers both the making and signing of false official statements and official documents. An "official" statement or document is any statement or document made in the line of duty to a person who is discharging the functions of his or her office. "In the line of duty" pertains to a matter within the jurisdiction of any US department or agency. It must be proven that the accused knew the document or statement was false and had a specific intent to deceive. Examples include falsely identifying oneself to a base gate guard or falsely listing a person as one's dependent to gain base privileges. However, material gain is not an element of the offense.

7.8.3. General Article. The General Article (Article 134) is designed to address unspecified offenses punishable because of their effect on the US Armed Forces. Article 134 generally provides for those offenses not specifically mentioned elsewhere in the punitive articles of the UCMJ. A military member can be punished under Article 134 for any and all disorders and neglects that are prejudicial to good order and discipline in the US Armed Forces, for conduct of a nature to bring discredit upon the armed forces, and for crimes and offenses not capital. There is no offense of conduct unbecoming a noncommissioned officer.

7.8.3.1. Disorders and Neglects Prejudicial to Good Order and Discipline. Article 134 seeks to protect the internal operation of the US Armed Forces. The issue is the effect of the accused's act on good order and discipline within the US Armed Forces. The effect must be reasonably direct and tangible. Disorders and neglects prejudicial to good order and discipline include breach of custom of the service, fraternization, impersonating an officer, disorderly conduct, gambling with a subordinate, and incapacitating oneself for duty through prior indulgence in intoxicating liquors.

7.8.3.2. Conduct of a Nature To Bring Discredit Upon the Armed Forces. The concern here is the effect of the accused's act on the reputation of the US Armed Forces; that is, how the military is perceived by the civilian sector.

The conduct must tend to bring the Service into disrepute or lower it in public esteem. Thus, violations of local civil law or foreign law may be punished if they bring discredit upon the US Armed Forces, such as dishonorable failure to pay debts, indecent exposure, fleeing the scene of an accident, bigamy, adultery, or pandering.

7.8.3.3. Crimes and Offenses Not Capital. Acts or omissions that are not chargeable under other articles of the UCMJ, but are crimes or offenses under federal statutes, as well as violations of state law, are charged under the Federal Assimilated Crimes Act. An example would be counterfeiting. This crime is not specifically listed in the UCMJ, but is still a violation of federal law.

7.8.4. Offenses Related to War. The UCMJ includes a number of offenses related to war. These offenses include misbehaving before the enemy, aiding the enemy, compelling surrender, improperly using countersigns, mishandling captured or abandoned property, committing misconduct as a prisoner of war, and making disloyal statements. Two especially egregious offenses related to war are misbehavior before the enemy and misconduct as a POW, as follows:

7.8.4.1. Misbehavior Before the Enemy. Article 99, UCMJ, provides the running away before the enemy and cowardly conduct are capital offenses punishable by death.

7.8.4.1.1. The term "enemy" (as used in "running away before the enemy") includes both civilian and military organized forces of the enemy in time of war and any hostile bodies including rebellious mobs or bands of renegades. The term is not restricted to the enemy government or its armed forces. If the act was caused by fear, the offense should be charged as "cowardly conduct," rather than "running away." Whether a person is "before the enemy" is not a question of definite distance, but one of tactical relation.

7.8.4.1.2. The critical element in the offense of cowardly conduct is fear that results in the abandonment or refusal to perform one's duty. Fear is a natural apprehension going into battle, and the mere display of apprehension does not constitute this offense. Cowardice is misbehavior motivated by fear. Genuine or extreme illness or other disability at the time of the alleged misbehavior may be a defense.

7.8.4.2. Misconduct as a POW. Article 105, UCMJ, recognizes two types of offenses arising in POW situations. One offense involves unauthorized conduct by an accused securing favorable treatment to the detriment of other prisoners. The other offense prohibits maltreatment of POW by a person in a position of authority. The purpose of this article is to protect all persons held as prisoners, whether military or civilian and regardless of their nationality. Additionally, all POWs are governed by a code of conduct and are subject to punishment for violating the code.

7.8.5. Insubordination. Insubordinate conduct may be expressed in many different ways and toward many different persons in the military community. By its nature, seriousness is judged both by the means used and the relative relationship in the military hierarchy of the parties involved.

7.8.5.1. Article 89, UCMJ, prohibits disrespectful acts or language used toward a superior commissioned officer in his or her capacity as an officer or as a private individual. Therefore, it is not necessary for the superior commissioned officer to be in the execution of his or her office at the time of the disrespectful behavior. However, it must be established that the accused knew the person against whom the acts or words were directed was the accused's superior commissioned officer. Disrespect may include neglecting the customary salute or showing a marked disdain, indifference, insolence, impertinence, undue familiarity, or other rudeness toward the superior officer. Truth is no defense.

7.8.5.2. Article 91, UCMJ, similarly prohibits insubordinate conduct toward a warrant officer, NCO, or petty officer. However, unlike Article 89 violations, the insubordinate conduct must occur while the individual being disrespected is in the execution of his or her duties. In addition, Article 91 does not require a superior-subordinate relationship as an element of the prescribed offense and can only be committed by enlisted members.

7.8.5.3. Another form of insubordination involves striking or assaulting a superior officer. Article 90(1), UCMJ, prohibits assaults and batteries against superior commissioned officers in the execution of their duties, and Article 91 prohibits similar conduct toward warrant officers, NCOs, and petty officers. "In execution of their duties" includes any act or service the officer is required or authorized to do by statute, regulation, orders, or customs. An essential element is the accused's knowledge that the person is a superior officer or superior warrant officer, NCO, or petty officer. In time of war, striking a superior commissioned officer can be a capital offense. An officer's behavior might cause him or her to forfeit the protection accorded his or her status. For example, a conviction of assaulting a superior commissioned officer in the execution of his office was reversed when it was determined the commander, by words and action, had abandoned his position and grade. In a series of exchanges, the commander challenged a private by saying, "Let's see you put me on my back." At that point, the private struck the commander.

7.8.6. Disobedience Offenses:

7.8.6.1. Disobeying a Superior Officer. Article 90(2), UCMJ, prohibits the intentional or willful disobedience of the lawful orders of a superior officer. All orders are inferred to be lawful and are disobeyed at the peril of the subordinate. (See Lawfulness of Orders in paragraph 7.8.7.) This inference does not apply to a patently illegal order, such as one that directs the commission of a crime. The order must relate to military duty, which includes all activities reasonably necessary to accomplish a military mission or to safeguard or promote the morale, discipline, and usefulness of command members, and is directly connected with the maintenance of good order and discipline. The maximum punishment for willfully disobeying a lawful order from a superior officer includes dishonorable discharge, forfeiture of all pay and allowances, and confinement for 10 years.

7.8.6.2. Failure To Obey Orders or Regulations. Article 92, UCMJ, provides members are subject to court-martial if they (1) violate or fail to obey any lawful general order or regulation, (2) having knowledge of a lawful order issued by a member of the armed forces, which is their duty to obey, fail to obey the order, or (3) are derelict in the performance of their duties.

7.8.6.2.1. Lawful General Order or Regulation. This term relates to general orders or regulations that are properly published by the President, the Secretary of Defense, the Secretary of a military department, an officer having general courts-martial jurisdiction, a general officer in command, or a commander superior to one of the former. (A squadron commander does not have the authority to issue general orders.) Once issued, a general order or regulation remains in effect even if a subsequent commander assumes command. Knowledge of the order is not an element of the offense and a lack of knowledge is not a defense. Only those general orders or regulations that are "punitive" are enforceable under Article 92(1). A punitive order or regulation specifically states a member may be punished under the UCMJ if violated. Regulations that only supply general guidelines or advice for conducting military functions are not "punitive" and cannot be enforced under Article 92(1).

7.8.6.2.2. Other Lawful Orders or Regulations. This offense includes violations of written regulations that are not general regulations. The key requirements are the accused had a duty to obey the order and had actual knowledge of the order. Such knowledge is usually proven through circumstantial evidence. The accused cannot be convicted of this offense merely because he or she should have known about the order. Failure to obey a wing-level operating instruction prohibiting overnight guests in the dormitory is an example.

7.8.6.2.3. Dereliction of Duty. Dereliction of duty is compromised of three elements: (1) the accused had certain duties; (2) the accused knew or reasonably should have known of the duties; and (3) the accused was derelict in performing the duties, either by willfully failing to carry them out or by carrying them out in a negligent or culpably inefficient manner. "Willfully" means performing an act knowingly and purposely while specifically intending the natural and probable consequences of the act. "Negligently" means an act or omission of a person who is under a duty to use due care which exhibits a lack of that degree of care which a reasonably prudent person would have exercised under the same or similar circumstances. "Culpable inefficiency" means an inefficiency for which there is no reasonable or just excuse. Merely being inept in the performance of duty will not support a charge of dereliction of duty. That is, officer or enlisted members cannot be punished for inadequate performance if they make a good faith effort, but fall short because of a lack of aptitude or ability. Such performance may be grounds for administrative demotion or administrative discharge, but it is not a crime.

7.8.7. Lawfulness of Orders:

7.8.7.1. A lawful order must be (1) reasonably in furtherance of or connected to military needs, (2) specific as to time and place and definite and certain in describing the thing or act to be done or omitted, and (3) not otherwise contrary to established law or regulation.

7.8.7.2. An order is in furtherance of or connected to military needs when it involves activities reasonably necessary to accomplish a military mission or to safeguard or promote the morale, discipline, and usefulness of command. Such an order may interfere with private rights or personal affairs, provided a valid military purpose exists. Furthermore, the dictates of a person's conscience, religion, or personal philosophy cannot justify or excuse disobedience of an otherwise lawful order. An order requiring the performance of a military duty or act may be inferred to be lawful and is disobeyed at the peril of the subordinate. This inference does not apply to a patently illegal order, such as one that directs the commission of a crime. An accused cannot be punished for disobeying or failing to obey an unlawful order.

7.9. Conclusion. The Air Force's mission is "to defend the United States and protect its interests through aerospace power." Many aspects of carrying out that job involve legal issues. To prepare SNCOs for greater responsibilities, this chapter examined the evolution of our military justice system and its constitutional underpinnings, jurisdiction of military courts, commander's involvement in the process, roles of the parties in the adversarial system, post-trial matters and appellate review, and assorted punitive articles of the

UCMJ. This chapter also covered various administrative law matters.

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Chapter 8

SNCO RESOURCE MANAGEMENT

Section 8A—Overview

8.1. Introduction. Resource management is a high priority for the Air Force. In fact, the mission often depends upon sound resource management decisions. Although NCOs don't develop the national budget (the president) or vote for weapon systems (the Congress), they play major roles in planning, developing and executing the Air Force budget. This chapter covers resource management from the big picture perspective—the Planning, Programming, and Budgeting System (PPBS). It also covers topics SNCOs may come in contact with on a day-to-day basis—the Resource Management System (RMS), unit property, manpower, facilities, and energy conservation. SNCOs should understand the big picture and support Air Force objectives through good day-to-day resource management.

Section 8B—PPBS

8.2. Definition. The PPBS is the DoD RMS used to identify midrange mission needs of the Air Force and other DoD agencies. AFMAN 36-2241, Volume 1, provides information on budget forecasting and manpower management. Knowledge of the PPBS enables Air Force personnel to forecast fiscal year funds, change manpower requirements, and procure equipment. DoD uses the PPBS to identify needs, determine resource requirements, and allocate resources to accomplish the mission. The goal of PPBS is to achieve the best mix of forces, manpower, materiel equipment, and support.

8.3. Background. Before the 1960s, fiscal year constraints were the only controls the Secretary of Defense exercised over the annual Air Force program. The budget was planned one year at a time, and there was no effective long-range planning. During the 1960s, Secretary of Defense Robert McNamara worked to implement PPBS to provide a clear relationship between defense plans and defense dollars. From this perspective, the PPBS ensures defense dollars are relate to established warfighting requirements and capabilities.

8.4. Key Concepts:

8.4.1. Constrained Total Obligation Authority (TOA):

8.4.1.1. TOA is the amount of money the Air Force is allowed to spend (obligate) each year. Today's military organizations are characterized by large requirements, limited resources, and competitive program requirements. No matter how large the defense budget, funding is constrained by a congressionally determined TOA limit.

8.4.1.2. Because there are always more programs than can be funded under the TOA, competing military programs are compared, evaluated, and restructured to get the most effective combat capability programs for the money. The competition is more than just a rivalry between two courses of action—it is competition between types of resources; for example, manpower against equipment. The number of personnel and the cost and quantity of hardware required to field or maintain a system are compared on an effectiveness basis to other systems combining different personnel, expenses, and materiel requirements.

8.4.2. Future Years Defense Program (FYDP). The FYDP ("fi-dep") represents planned requirements for a 6-year period starting 2 years in the future and ending 7 years out from the calendar year. For example, in calendar year 2002, the FYDP covers years 2002 - 2007. A program is a series of appropriated funding lines supporting a capability over the 6-years. The aggregate of all programs in FYDP is called the Air Force program objective memorandum (POM) or just the Air Force Program. The Air Force submits a POM every 2 years with an amended POM (APOM) submitted in odd years. Thus, the submissions look like this: 1998 - 2003 (POM), 1999 - 2003 (APOM), 2000 - 2005 (POM), 2001 - 2005 (APOM), etc.

8.5. PPBS Process:

8.5.1. The PPBS's goal is to achieve the defense objectives established by the President and Secretary of Defense in a document called the defense planning guidance (DPG). The DPG is the major link between the National Military Strategy (NMS) and the PPBS.

8.5.2. The Air Force uses the Air Force corporate structure to implement the PPBS. This structure increases management effectiveness by applying judgment and experience to programs, resource limitations, and other program adjustments. The Air Force Council, the Air Force Board, the Air Force Group, and the 14 mission and mission support panels make up the Air Force Corporate Structure. Mission support panels are organized around key support functions such as personnel and training, logistics, installation support and communications and information.

8.5.3. The PPBS has three cycles each year; the POM, the budget estimate submission (BES), and the President's budget (Figure 8.1). During these three times, the official DoD database is updated with program changes and then is locked until the end of the next cycle. Additionally, the

PPBS contains three distinct but interrelated phases; planning, programming, and budgeting (paragraph 8.6).

8.6. PPBS Phases:

8.6.1. Planning Phase. Planning produces a fiscal forecast, planning guidance, and program guidance:

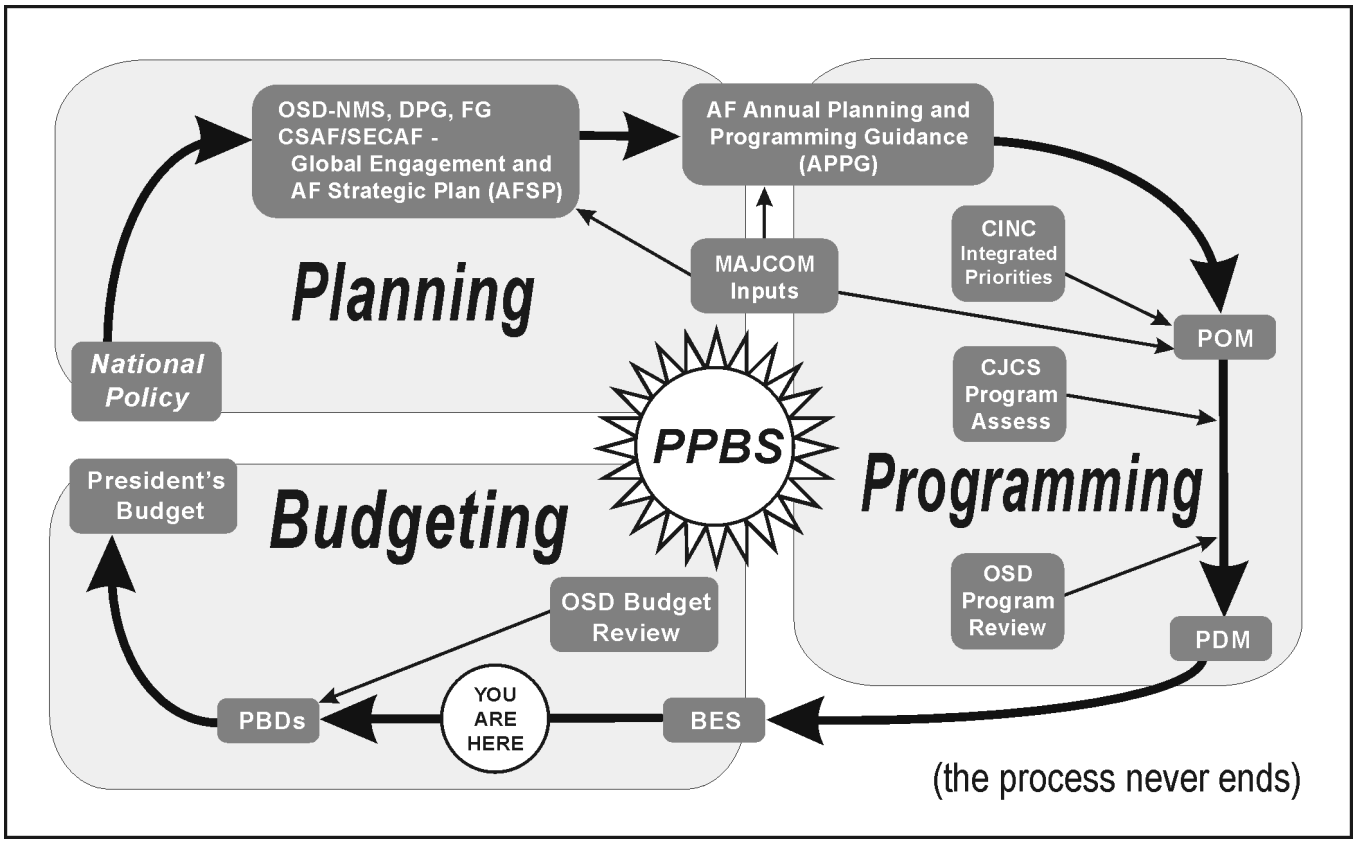
8.6.1.1. The Planning phase begins with the current presidential administration articulating a vision in the National Security Strategy (NSS). Our most recent NSS is an unclassified document published by the White House in 1997, entitled "A National Security Strategy For A New Century." The DoD publishes a companion document called the National Military Strategy (NMS). Our most recent NMS is an unclassified document published by the Chairman, JCS, in 1997 entitled "Shape, Respond, Prepare Now: A Military Strategy for a New Era."

8.6.1.2. The Air Force takes these broad policy statements and publishes the Air Force vision document. Our most recent vision document (1997) is "Global Engagement: A Vision for the 21st Century Air Force." The Air Staff uses these documents to conceptualize what the Air Force should look like in 20 years and develops the Air Force Strategic Plan (AFSP). The planning phase ends with publication of the Annual Planning and Programming Guidance (APPG) in November each year. The APPG links the planning and programming phases, taking the broad outlines of the AFSP and converting them into specific programming direction for the MAJCOMs.

8.6.2. Programming Phase. Programming creates the Air Force portion of DoD's FYDP by defining and examining alternative forces and weapons and support systems.

8.6.2.1. The APPG initiates the programming phase, giving direction to the MAJCOMs for their POM input. MAJCOMs suggest FYDP funding lines for all programs of interest in the POM. Once all MAJCOMs, DRUs, and FOAs make their inputs, the Air Staff eliminates duplication, equalizes the capabilities across core competencies and missions, and balances resources between the four major categories (people, readiness, modernization, and infrastructure).

Figure 8.1. The PPBS Cycle.



8.6.2.2. The POM is submitted to the Office of the Secretary of Defense (OSD) in May. During the summer, OSD personnel review the program and chair meetings on changes they want made to the Air Force program. At the end of the summer, the final direction is sent to the Air Force in the form of the program decision memorandum (PDM). Receipt of the PDM from the OSD officially ends the programming phase.

8.6.3. Budgeting Phase. This phase focuses on developing the Air Force input to the President's budget.

8.6.3.1. Budgeting formulates, executes, and controls resource requirements, allocation, and execution. Services prepare their BESs based on direction in the PDM.

8.6.3.2. The third major phase of PPBS is the President's Budget. This is developed throughout the fall as the OSD Comptroller directs budgetary changes to the Air Force submission in program budget decisions (PBD). The OSD combines all Service and agency inputs into an overall DoD input for the President's Budget and submits it to Congress in January.

8.6.3.3. When Congress receives DoD's input, the Armed Services Committees, Authorizations Committees, and Appropriations Committees of both houses of Congress conduct hearings and formal reviews. The final budget is approved with enactment of authorization and appropriation bills and becomes law when the President signs these bills.

8.6.3.4. After the budget is approved, the Air Force tracks execution (spending of appropriated money) to ensure all funds are obligated. Funds not obligated get pulled back to pay "bills" in other areas.

8.7. PPBS Summary. Every NCO contributes to the PPBS. Within this system, NCOs help establish and forecast a budget to ensure sufficient funds are available to accomplish the mission. Requirements are consolidated at the MAJCOM and sent to HQ USAF for inclusion in the POM. Thoughtful and accurate estimates on the local level are extremely important in reflecting the overall Air Force needs. Wise day-to-day resource management is essential to an effective PPBS.

Section 8C—Day-to-Day Resource Management

8.8. Purpose. The purpose of day-to-day resource management is to meet as many mission objectives as possible with available funds. The importance of resource management should be obvious—If planning is inadequate, funds received will also be inadequate, thus making management very difficult and adversely affecting mission performance.

8.9. Resource Management System (RMS). RMS refers to the management of personnel, money, and material. This system is specifically designed to ensure the Air Force mission is accomplished within the funding limits imposed by Congress. This is achieved through the combined effort of many installation members exercising control over available resources. RMS ensures functional area representatives are responsible for the resources required to support mission accomplishment.

8.9.1. Resource Managers (RM). The RM's primary responsibility is to plan for and control the expenditure of funds in a manner that will meet mission objectives within financial limitations. Resource management is the responsibility of all RMs.

8.9.2. Responsibility Centers (RC). Each unit on base, such as a supply squadron, transportation squadron, or medical facility, is referred to as an RC. RC managers appoint a resource advisor (RA) for the organization to monitor the preparation of budget estimates, participate in the development of budget targets, and monitor the day-to-day use of resources. Personnel from the base-level comptroller and the accounting liaison office contact RAs on matters pertaining to resource management. An effective RA must understand terminology, accounting structure, reports, budgeting process, financial committee functions, and funds reprogramming and management. RC managers take the lead in encouraging good financial management within their units.

8.9.3. Cost Centers (CC). The CC is a unit section or work center that reports fiscal matters to the RA. The CC manager or work center supervisor is vital to the RMS. Managers and supervisors regulate the day-to-day consumption of work hours, supplies, equipment, and services. They are in the best position to make budget estimates and forecasts because they monitor the daily use of items such as parts, equipment, and supplies. CC managers must be aware of possible changes in the mission or work load to successfully predict future needs.

8.9.4. Internal Management Data. Internal management data reflects the unit workload and is generally not available in formal base financial reports. Normally, the RA maintains internal information concerning annual funds expenditure; for example, civilian overtime requests, paid temporary duty (TDY) vouchers, lists of contracts with descriptions, contract maintenance data, mission changes impact, financial programs inflation impact, and workload data. Workload data includes information such as the number of customers served and number of line items processed, and it serves as the basis for determining cost data in preparation of budgets and financial plans.

8.9.5. Accounting System. RMs use accounting system

reports to monitor and control their funds, such as TDY travel and supplies. Reports show spent funds, amount remaining, and a comparison between spent funds and the operating budget projected spending. The accounting system provides financial information the RC manager, CC manager, and financial analysis officer use to review fund status reports and monitor unit budgets. These reports generally include the funding target, amount spent, and unpaid balances.

8.9.6. Financial Analysis. Financial analysis is more than just studying dollar costs. It involves the full act of analyzing the operations, programs, and plans that cause the dollar costs. The figures shown on financial status reports are, to a large degree, a mirror of executed programs.

8.9.6.1. The first step in analyzing the financial reports is to read the figures. If targeted amounts are exceeded, either the program is ahead of schedule or more money is being spent than planned. It is important to learn what is happening. Check the dollar, then the program status.

8.9.6.2. For example, 25 percent of the year has passed, but $35,000 of the $100,000 (35 percent) of the annual budget for vehicle maintenance has been spent. If maintenance was performed on 35 percent of the programmed number of vehicles, the program was simply accelerated. However, if only 15 percent of the annual requirement has been completed but 35 percent of the money is gone, there may be trouble.

8.9.6.3. Is the job costing more than planned? Is more maintenance required than expected? What is the problem? These are questions that must be answered before choosing a course of action.

Section 8D—Government Property and Equipment

8.10. General Responsibilities:

8.10.1. AFI 23-111, *Management of Government Property in Possession of the Air Force*, states that military and civilian personnel are responsible for all Air Force property in their custody, with or without a receipt. Property management applies to each individual regardless of duty assignment or supervision level. Military members are responsible for government quarters (family housing or unaccompanied personnel housing), equipment, furnishings, and personal items issued to them, and they may be held liable if the loss or damage was caused by their negligence or deliberate unauthorized use. Members are also liable for such losses or damage caused by guests, dependents, and guests of dependents.

8.10.2. Commanders are responsible for managing public property under their control, including proper care and use, providing instructions to subordinates on their specific responsibilities, and maintaining records that may be audited; for example, accountable equipment listed on a custodian authorization/custody receipt listing (CA/CRL). Commanders and supervisors establish controls to eliminate uneconomical equipment management. They must also ensure all personnel are taught proper care and safeguard principles and these principles are enforced. Installation supply squadrons often offer training on a variety of topics for different management levels. Commanders appoint representatives and, with the supervisors, ensure the representatives attend the proper training. For example, primary or alternate equipment custodians attend mandatory special training provided by the installation's chief of supply.

8.10.3. AFMAN 23-110, Volume 2, Part 13, BASIC, *Standard Base Supply Customer's Procedures,* specifies the policy and procedural guidance for managing organizational equipment under the Air Force Equipment Management System (AFEMS). The AFEMS provides a standard equipment management system applicable to all Air Force activities. It is web enabled and requires a password for access. It provides worldwide visibility of all in-use and warehoused equipment assets and is used to report capitalized assets depreciation, determine equipment requirements based on Air Force allowance standards (AS), support the budget/buy program, and report equipment types and quantities required to accomplish the mission. ASs are provided both on-line in the AFEMS and off-line via compact disk read only memory (CD-ROM). ASs include specific items and quantities authorizations required for the wartime and peacetime needs of each unit.

8.11. Property Accounting. The organization commander (or equivalent) designates a property custodian for government property used by the unit and listed on AS documents. On assuming responsibility and at least annually, the designated property custodian must perform an inventory of all assets. The custodian signs the CA/CRL, acknowledging completion of the inventory and signifying all items listed are being used properly and maintained in a serviceable condition. The property custodian is relieved of responsibility only when the account is transferred to another custodian or when the property custodian provides authorized adjustment documents (turn-in receipts, transfer documents, etc.).

8.12. Reports of Survey. Reports of survey are used to assess financial liability when accountable property is lost, damaged, or destroyed. AFMAN 23-220, *Reports of Survey for Air Force Property*, identifies the accounting and reporting procedures.

8.12.1. When To Complete a Report of Survey:

8.12.1.1. The Air Force must complete a report of survey, with some exceptions, for all government property that is lost, damaged, or destroyed. The property can be real or personal. Air Force real property includes buildings and items attached to them, such as air-conditioners and compressors. Personal property is anything that is not real property, such as parkas, tools, desks, typewriters, equipment, and vehicles.

8.12.1.2. A report of survey is *not* necessary when the individual responsible for the loss or damage makes voluntary payment and loss, damage, or destruction of property is $500 or less. This policy does not prevent the initiation of a report of survey when the loss is less than $500, there is evidence of negligence, or there is a systematic loss of property by the same individual over a period of time. A report of survey is *also* not necessary when investigation of the loss, damage, or destruction of a vehicle indicates there is no evidence of gross negligence, willful misconduct, or deliberate unauthorized use. However, the commander may take action against individuals in these cases using punitive or administrative options.

8.12.2. Initiating a Report of Survey. Generally, the organization possessing the lost or damaged property is responsible for initiating a report of survey even if the property is deployed or issued on a hand receipt outside the organization.

8.12.2.1. Depending on the organizational structure, the commander normally initiates the proceedings by appointing an investigating officer. The investigating official can be any disinterested officer, SNCO (E-7 or above), or civilian (GS-7 or above). The disinterested investigator must be an impartial individual who has no interest or involvement in the custodianship, care, accountability, or safe keeping of the property in question.

8.12.2.2. The investigation must begin as soon as possible following discovery of the loss or damage to ensure all concerned persons are available and the facts are still clear in their minds.

8.12.3. Report of Survey Investigation:

8.12.3.1. The investigating official is responsible for documenting the important facts and circumstances by determining what happened, how, where, when, who was involved, and if there was any evidence of negligence, misconduct, or deliberate unauthorized use or disposition of the property. The investigating official interviews people having knowledge of the case, including anyone who may have lost, damaged, or destroyed the property.

8.12.3.2. The investigating officer then makes a recommendation as to whether an individual should be held financially liable by completing Block 9 of DD Form 200, **Financial Liability Investigation of Property Loss.** The investigating official will also recommend actions to be taken to prevent recurrence. This will be recorded in Block 10 of DD Form 200.

8.12.4. Liability:

8.12.4.1. If the investigation does not uncover evidence of negligence, willful misconduct, or deliberate unauthorized use, all individuals concerned will be relieved of financial responsibility. The report of survey will also be used to adjust property records. Inventory adjustment vouchers may also be used to adjust property records after conducting appropriate research as to the cause of the discrepancy.

8.12.4.2. If an individual admits responsibility for loss, damage, or destruction of public property entrusted in his or her care, pecuniary (pertaining to money) charges will be assessed against the individual for payment. Pecuniary charges will also be assessed if an individual is found guilty of gross negligence, willful misconduct, or deliberate unauthorized use. In cases of proven negligence or unauthorized use, liability is *limited to 1 month's basic pay.*

8.12.4.3. When pecuniary liability is admitted and the loss does not exceed $500, relief from responsibility may be obtained by processing DD Form 362, **Statement of Charges for Government Property Lost, Damaged, or Destroyed,** or DD Form 1131, **Cash Collection Voucher.** When the dollar value exceeds $500, DD Form 200 will be initiated according to AFMAN 23-220.

8.12.5. Processing the Report of Survey:

8.12.5.1. After the investigation is complete, the investigating official allows the persons involved to review the case and provide verbal or written information to refute the findings and recommendations. After incorporating the rebuttal information into the DD Form 200, the investigating official forwards the findings to the responsible officer.

8.12.5.2. The responsible officer reviews the findings and forwards the report to the report of survey program manager who will ensure the report is properly completed and a legal review is obtained if financial liability is recommended. This will occur prior to sending the case to the approving authority (the commander).

8.12.5.3. When an individual is found financially liable by the report of survey proceedings, the approving authority will notify the individual in writing. The individual has 30 days to appeal the decision. If remittance is not received within 30 days, the member is notified of the financial

liability. If no appeal is submitted, the approving authority will send a completed copy of the DD Form 200 to the financial services officer for involuntary collection action.

8.13. Vehicle Control Officer (VCO) Program. ASs 019 - 032 prescribe maximum vehicle allowances for organizational and functional missions. However, the AS is only a source document, not an authorization for a vehicle. Vehicles permanently assigned to flights require day-to-day management in addition to services provided by transportation squadron personnel. To help in this effort, the Air Force adopted the VCO program. This program helps organizations manage and make the most effective use of their assigned vehicles. The VCO serves as a liaison between the unit and the transportation squadron.

8.13.1. The VCO. According to vehicle operational and maintenance policy, the using organization has much of the control over the vehicles. Vehicle users are responsible for the operation, conservation, and condition of any government vehicle they drive. The driver's supervisor and commander enforce this responsibility through the VCO. VCOs promote proper operator care and ensure quality maintenance for consistent vehicle reliability. VCOs must also take appropriate measures to prevent the misuse, abuse, and damage to Air Force vehicles.

8.13.2. How To Obtain Vehicles. Vehicle operations fleet management personnel can provide valuable assistance when vehicle authorizations are required to support mission requirements. Vehicles are justified on the C001/AFEMS TACR screen in addition to the AF Form 601, **Equipment Action Request.** AF Form 601 is verified by the VCO and evaluated by the logistics group commander, who recommends approval or disapproval. Base-level transportation personnel then forward the request to their MAJCOM for approval. The authorization, if approved by the MAJCOM, will be added to the vehicle authorization list maintained in vehicle operations. Vehicle operations will assign the appropriate type of vehicle when available.

8.13.3. Retaining Present Flight Vehicles. After a vehicle is authorized and assigned, continued retention is based on the continuing need, mission, and achievement of utilization goals. MAJCOM and base-level transportation personnel periodically validate vehicle requirements to ensure only the minimum vehicles necessary to support the mission are authorized.

Section 8E—Resource Management Team (RMT)

8.14. Overview:

8.14.1. The RMT is a problem-solving team designed to improve base-level resource management by providing training and specific assistance. The main purpose is to train and motivate personnel by observing and cross-feeding innovative resource management methods and ideas. Cross-feeding information is very important. Identifying various resource management practices and techniques observed throughout the base, recommending improvements, and making this information available upgrades financial awareness and skills. The key to a successful RMT is open information exchange and the base's application of its own expertise in identifying and resolving resource management problems.

8.14.2. The RMT usually consists of consultants from comptroller, supply, transportation, BCE, and personnel offices. The installation commander offers RMT services at least annually to all on-base major and supported tenant RCs. The RC manager may accept or decline the visit. Refer to AFI 65-601, Volume 2, *Budget Management for Operations*, for more information on the RMT.

Section 8F—Manpower Management

8.15. Overview. Manpower management is an essential part of resource management and key to mission accomplishment. Every SNCO must understand the basics of identifying and managing manpower to meet the mission. This section provides an overview of manpower management. It provides general information on the unit manning document (UMD), funded and unfunded requirements, manpower changes, and the installation manpower and organization (MO) office services.

8.16. UMD:

8.16.1. The UMD is a computer-generated product from the Manpower Data System (MDS) which lists military, civilian, and contract military equivalent manpower requirements and authorizations. The UMD reflects unit manpower requirements and authorizations in the MDS which are supported by the servicing military personnel flight, civilian personnel flight, or MO office. The UMD is the key product in manpower management, and it affects the budgetary and personnel allocation processes. If the UMD does not accurately reflect unit requirements and authorizations, appropriate funding and personnel fill actions may not occur.

8.16.2. The UMD lists the number and type of manpower displayed by functional account code or organizational structure code. Various manpower data elements are reflected on this document. The most common referenced elements are the unit identifying elements (personnel accounting symbol [PAS], position numbers, Air Force specialty codes [AFSC], duty titles, authorized and required grades, authorization effective dates, and program element codes). The UMD does not reflect

information about the individuals who are filling the authorized positions. The unit personnel management roster (UMPR), generated by the personnel community, provides specific data associated with assigned personnel.

8.16.3. Unit commanders and supervisors should receive a UMD at least quarterly. The UMD normally displays requirements for the current quarter, projected next four fiscal quarters, and the fourth quarter for the next 3 years. Additional fields may be requested to suit specific needs. Typically, the unit manpower point of contact (POC) serves as liaison between the unit and MO office and maintains the UMD. Many installations now offer an automated UMD database. Contact your unit manpower POC or servicing MO office for further information on this capability.

8.17. Funded and Unfunded Requirements and the Career Progression Group (CPG) Program:

8.17.1. Funded requirements are referred to as authorizations. Unfortunately, total requirements often exceed what the Air Force can fund. Military and civilian personnel flights can only assign personnel to funded requirements. The Air Force allocates authorizations to each MAJCOM and FOA through the FYDP. The MAJCOM further distributes authorizations to subordinate levels based on mission requirements. Therefore, one subordinate unit may be funded at a lower percentage than another, producing a higher ratio of unfunded requirements. Unfunded requirements may require reducing lower priority activities to allow direct application of manpower authorizations to higher priority workload. Unfunded requirements on a unit's UMD are often used as justification for manning assistance or temporary overhires.

8.17.2. Air Force, MAJCOM, and unit actions affect authorization levels. Some actions not only affect authorization levels, but can also impact the funded grade. A grade imbalance between authorized and required manpower can occur as a result of budgetary constraints on the CPG. CPG limits total military grades. For example, CMSgts are congressionally constrained to 1 percent of the total enlisted force. HQ USAF implements congressional and DoD grade constraints by creating CPG factors for each AFSC. These factors result in specific numbers of authorizations in each AFSC at each grade. MAJCOMs are restricted to the number of authorized grades allocated by AFSC, and AFSC functional managers distribute these grades on a priority basis.

8.17.3. A grade imbalance exists when the UMD authorized grade does not match the peacetime required grade. Although flexibility exists within the system, career field managers and MAJCOM functional managers must balance the books and validate where each manpower authorization is used. Sometimes this means deleting slots or reducing the grade. Individual assignment actions usually take place over time to coincide with the manpower authorization changes imposed as a result of the CPG program.

8.18. Initiating and Tracking Manpower Changes:

8.18.1. There are times when a unit needs to change an existing requirement on the UMD. An authorization change request (ACR) is used to request that change. The unit identifies the requested change and provides detailed justification and a project POC. The MO office is responsible for evaluating the request, entering it into MDS, and making a recommendation for approval or disapproval to the MAJCOM. ACR formats often vary from one MAJCOM to another; the servicing MO office can provide specific procedures.

8.18.2. Many actions necessitate an ACR. Some of the most frequent are AFSC changes, position movement, realignment of funding from a funded requirement to an unfunded requirement, and grade conversions. Many factors must be considered when a unit proposes a change. Common considerations include: (1) determining how the charge affects the organizational structure, (2) ensuring the manpower realignment does not exceed the amount allowed by Air Force manpower standards, (3) ensuring the requested charge does not cross program elements, and (4) ensuring the requested charge does not adversely impact the unit's ability to deploy.

8.18.3. The most significant consideration is to ensure the ACR is fully justified and is a zero balance action—no net increase in resources, grades, etc. For example, if a unit wants to fund a position that is currently unfunded, a funded position must be identified for conversion to unfunded and the justification must detail rationale. This "tradeoff" position should be in the same grade and program element as the position to be funded. The project POC should work closely with the MO office when developing an ACR, coordinating the ACR with the commander of each unit affected by the change prior to submission to the servicing MO office.

8.18.4. When MO personnel receive an ACR, they evaluate the request, enter it into MDS, and make a recommendation to the MAJCOM for approval or disapproval. The MAJCOM evaluates the request and coordinates with the appropriate functional managers before finalizing the action.

8.18.5. If the request is disapproved, the MAJCOM provides rationale to the submitting unit through the servicing MO office. If the request is approved, the MAJCOM updates the change in the MDS and the servicing MO office receives an authorization change

notice (ACN). The ACN details the approved change, rationale for the change, and the MAJCOM project POC. The MO office then provides the affected units with a copy of the ACN generated by the MDS. To ensure the accuracy of the UMD, units should update their UMD as soon as they receive an ACN.

8.19. MO Office Services. The installation MO office performs a variety of functions to help effectively manage manpower resources. The core competencies of the MO community encompass organization structure, requirements determination, program allocation and control, and performance management. Personnel within the MO office provide day-to-day manpower resource management services involving UMDs and assist with ACRs, ACNs, and organizational structure changes. They also provide other management services, to include management consulting services, performance management assistance, commercial activity services, and Innovative Development through Employee Awareness (IDEA) program management. Contact the servicing MO to learn more about their many management services.

Section 8G—Competitive Sourcing (CS)

8.20. Purpose. CS is a program to maximize cost-effectiveness and efficiency and enhance mission capability by taking advantage of services available through the private commercial sector. The four principal goals of CS are to sustain readiness, improve performance and quality by doing business more efficiently and cost-effectively, generate savings for force modernization, and focus personnel and resources on core Air Force missions. A function that is competitively sourced and maintained in-house will be converted to an all civilian (DoD) work force unless a waiver has been granted for military to be assigned to the in-house organization. An important CS byproduct is force-size reduction. CS is not about the elimination of a service or function; it is about the most effective and efficient procurement of a service or function through the competitive process.

8.20.1. Essential Military Skills. CS will not affect essential military skills or those functions that are inherently governmental. Military essential skills are defined as skills that:

8.20.1.1. Directly contribute to the prosecution of war (combat or direct combat support).

8.20.1.2. Exercise UCMJ authority.

8.20.1.3. By law must be filled with military people.

8.20.1.4. Are military by custom or tradition (bands and honor guards).

8.20.1.5. Are needed to support overseas rotations and to sustain certain career fields.

8.20.1.6. Are not available in the private sector.

8.20.2. Inherently Governmental Function. An inherently governmental function is one that must be performed by government employees, either military or civilian, and includes activities that require making decisions or obligating money on behalf of the government. For example, warranted contracting officers are inherently governmental because they are responsible for making decisions on behalf of the government. That is, they are the signature authority for committing government funds. The entire contracting staff, however, does not necessarily satisfy the same criteria. Contracting personnel who do research and provide information, advice, etc., to the warranted contracting officers do not necessarily have to be government employees.

8.20.3. Defining the Difference Between CS, Outsourcing, and Privatization:

8.20.3.1. CS is the program that looks for the most cost effective way to run a work center—either in-house or through a commercial contractor. In effect, it is the "competition" of these two "sources" for the stated work. If the function is not retained in-house, it will either be outsourced or privatized.

8.20.3.2. The fundamental difference between outsourcing and privatization is one of control over assets and processes. If the CS result favors the commercial contractor, the function will be "outsourced." Outsourcing means the government contracts with the private sector to provide a service, but retains ownership and control over the operations of the activity. The primary method the government follows in CS is to compare the cost of an in-house most efficient organization (MEO) to a contractor's performance to determine the most efficient and cost effective mode of operation.

8.20.3.3. In privatization, the government again relies on the private sector to provide a service. However, the government divests itself of the entire process, including all assets. With privatized functions, the government may specify quality, quantity, and timeliness requirements, but it has no control over the operations of the activity. Also, the government may not be the only customer. Whoever the government chooses to provide the services would likely provide the same services to others.

8.20.3.4. An example will illustrate some key differences between outsourcing and privatization. If we *outsourced* vehicle maintenance, contractor personnel would use our facilities, and they would service only *our* vehicles. If we *privatized* vehicle maintenance, we would simply take our

vehicles to a commercial mechanic where we would get in line just like we might with our personal vehicles.

8.20.4. CS Process Is Mandated. The Office of Management and Budget's (OMB) Circular A-76, *Performance of Commercial Activities,* and AFI 38-203, *Commercial Activities Program,* define a structured process for determining whether to perform work in-house or through contract. No such process exists for privatizing functions. Today, most of the Air Force's support services are readily available commercially and can often be provided more economically from commercial firms.

8.20.5. Responsibilities. At the Air Staff, the Manpower and Organization Directorate (HQ USAF/XPM) is responsible for implementing the CS program. At the MAJCOMs, CS falls under the MO division. At the wings, the servicing MO office is responsible for CS issues.

8.21. A-76 Study:

8.21.1. An A-76 study is a competition of government-operated activities and the private sector to determine whether commercial activities can be done more economically and efficiently by contract or by an in-house workforce. An A-76 study falls into two categories, cost comparison and direct conversion.

8.21.2. There are several rules that determine whether a process should be directly converted or if the cost of an in-house operation should be compared to a commercial source. However, the significance between them is the number of civilian employees involved in the work center to be studied. If there are more than 10 civilian employees, a cost comparison must be performed which includes developing a proposal for in-house operations (called the MEO) and soliciting bids from commercial firms. If there are 10 or fewer civilian employees, you can convert the activity directly to contract operations by soliciting bids from commercial firms. It is not *required* that an activity with 10 or fewer civilian employees be directly converted instead of cost compared; it is simply an option.

8.21.3. The cost comparison process allows federal civilian employees an opportunity to compete. Which option is best depends on local circumstances. ***NOTE:*** An all-military work center, regardless of the number assigned, can be directly converted.

8.22. CS Impact:

8.22.1. It is Air Force policy to minimize both the adverse effects on employees and the disruption to the affected organizations. Every effort will be made to find suitable employment for those permanent employees adversely affected by an activity's conversion from in-house to contract performance. Also, adversely affected employees are provided the Right of First Refusal for contractor jobs in the event the government is unable to place them in other federal positions.

8.22.2. CS generates savings by finding efficiencies and better ways to accomplish a particular function, thereby reducing the number of people needed to accomplish the mission. This also frees up military personnel to serve in functions that are core to the overall Air Force mission. Savings from an A-76 study are associated with the number of work-years saved in the work center under study.

8.22.3. In CS studies, the mission remains essentially unchanged, but the composition of the work force is different. Where "blue suiters" were doing the mission, civilians (either contract employees or civil servants) will now do the mission. Additionally, contract personnel could replace civil servants.

Section 8H—Facility Management

8.23. Installation Commander. The installation commander has overall responsibility and accountability for the operation of an Air Force installation. The installation commander (assisted by staff) is responsible for:

8.23.1. Ensuring the effective and efficient use of Air Force real property.

8.23.2. Identifying, planning, and programming real property maintenance, repair, and minor construction necessary to properly support assigned missions and people.

8.24. Using Organization:

8.24.1. Facility management begins with the using organization. The using organization is responsible for identifying space requirements and facility work requirements to effectively support its mission. Required facility work can range from maintenance and repair to alteration, renovation, or even new construction.

8.24.2. The commander is responsible for the organization's facility or facilities. Each commander will assign a facility manager for each facility belonging to the organization. Facility managers submit work requirements either verbally or in writing to the BCE facility maintenance unit.

8.24.3. All facility modification and repair work, including self-help or work and materials purchased with IMPAC cards, require a facility manager to submit an AF

Form 332, **Base Civil Engineer Work Request.** The AF Form 332 helps prevent conflict with other work planned for a facility and ensures the work meets fire, safety, health, and environmental standards. The facility manager can also notify the BCE of emergency work requirements by telephone 24 hours a day, 365 days a year.

8.25. BCE Squadron:

8.25.1. The BCE operations flight serves as the single POC for all maintenance, repair, alterations, and new construction. The facility manager may call a work request in directly to the operations flight job control or identify needed work to the civil engineer facility maintenance manager during a periodic facility inspection. In either event, operations flight job controllers and supervisors screen work requirements to decide if the work will be direct scheduled or planned work.

8.25.2. Direct scheduled work, like fixing a leaky faucet, requires little detailed planning and is normally performed within 24 to 72 hours. Planned work, like moving a doorway from one wall to another, requires detailed planning; and it may take several weeks or more to schedule craft workers and acquire materials.

8.25.3. When work exceeds the scope or capability of the operations flight, the operations flight chief passes the request to the engineer flight for planning and programming and incorporation in the BCE's facility project proposal list.

8.26. Planning and Programming Facility Projects:

8.26.1. Planning refers to the identification of facility work to satisfy current and future mission requirements. BCEs use several methods to identify facility requirements, including annual space utilization surveys, biennial commanders facility assessments, environmental compliance status assessments, and user- or occupant-identified requirements.

8.26.2. During programming, the authority and resources necessary to accomplish the planned work are acquired. After the requirements are identified, the BCE develops facility project proposals and presents them to the installation commander for validation, prioritization, and approval by the proper authority. A key element of programming facility requirements is proper work classification. Work authorization, approval levels, and fund sources vary with work classification. Real property maintenance work is classified as maintenance, repair, or construction. Construction work is classified as minor construction (less than $500,000), unspecified minor construction (urgent requirements between $500,000 and $1,500,000), and military construction (normal construction greater than $500,000).

8.27. Real Property Records:

8.27.1. The BCE must accurately record changes in real property use and physical changes (including building additions, renovations, and upgrades), disposal, and ownership changes (transfer of real property) on real property records.

8.27.2. Real property records form an audit trail that includes when a facility was built and the cost of any alterations and improvements accomplished by minor construction, to include self-help or IMPAC work.

8.27.3. It is important for facility managers to notify the BCE, through the operations flight, of any changes to their facilities. The base leadership, MAJCOMs, Air Staff, DoD, and Congress use data from these records to make critical planning, programming, and budgeting decisions.

Section 8I—Energy Conservation Program

8.28. Overview:

8.28.1. DoD and Air Force recognized the need for an effective energy conservation program during the 1973 oil embargo by oil-producing exporting countries. From 1973 through 1975, the Air Force initiated numerous conservation actions, which resulted in a 29 percent decrease in the use of petroleum products and ensured continued operational readiness.

8.28.2. Although this crisis passed, the Air Force's dependence on oil energy remains. The need for an effective energy program is as important now as it was during the oil embargo. EO 12902, *Energy Efficiency and Water Conservation at Federal Facilities*, March 8, 1994, directed all federal agencies to reduce energy consumption in federal buildings and facilities by 30 percent by the year 2005. By meeting this goal, the federal government will save American taxpayers approximately $800 million in annual energy costs and cut Federal energy consumption by the equivalent of 100,000 barrels of oil a day. As of the close of fiscal year 1999, the Air Force has reduced overall consumption in its facilities by 19.5 percent, and petroleum consumption by 67.7 percent.

8.28.3. The Air Force is the largest consumer of petroleum inside the DoD, accounting for approximately 56 percent of total DoD consumption with a yearly cost of over $2 billion. The only area where the Air Force spends more total dollars is in personnel. In FY 99, the Air Force consumed more than 60 million barrels of petroleum products. On the average, aviation fuel constitutes 73 percent of the total energy cost, utilities 25 percent, and ground equipment 2 percent.

8.28.4. The Air Force must increase energy efficiency to

ensure mission resources are available at a reasonable cost. Consequently, the Air Force developed several programs to meet specific requirements within the Air Force and DoD.

8.28.5. The Air Force's general policy is to make every effort to meet or exceed established conservation goals without degrading military readiness, safety, and effectiveness. This policy includes management actions, investment in energy conservation technology and equipment, and creation of information and recognition programs that promote energy conservation and management awareness.

8.28.6. The energy management program encourages personnel to use energy efficiently, both at work and at home, without degrading operational readiness. It also encourages practical facilities and operations energy conservation alternatives with an emphasis on petroleum conservation through the use of alternative, more abundant, or renewable energy sources. Structured to comply with DoD guidance, the program reflects a long-term commitment by the Air Force. It calls for organizations to continuously publicize Air Force and federal energy goals, policies, and new energy information to maintain unit member's interest in conserving energy. It also requires organizations to inform their members about the energy climate and educate them about the direct relationship between energy and national defense policy.

8.28.7. The HQ USAF Energy Management Steering Group (EMSG) provides top-level program management oversight. The EMSG develops energy conservation strategies, publishes guidance, and monitors energy program performance in meeting goals and objectives. The wing commander (or designee) chairs the base EMSG. This group formulates base energy policies, ensures base programs carry out energy policy, and designates a base energy manager. The base energy manager manages the day-to-day activities of the base energy plan and is the most important individual in the Air Force energy program.

8.29. Conclusion. All supervisors, managers, and commanders are responsible for safeguarding Air Force resources and exercising sound resource management practices. Remember, the amount of money spent and the other resources used (unit property, manpower, facilities) affect the entire mission. SNCOs have a daily role to play in the overall system. They must plan for future requirements and ensure allocated resources are used properly. If correctly accomplished, the result will be a stronger and more efficient Air Force.

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Chapter 9

CIVILIAN PERSONNEL MANAGEMENT

Section 9A—Overview

9.1. Introduction. This chapter provides an overview of the Air Force civilian personnel management system.

9.1.1. Today, perhaps more than ever, the Air Force must maximize its civilian employees' efficiency and effectiveness. A little more than one-third of the total Air Force end-strength is civilian. (In some units, the percentage is much higher.) Therefore, the first step in avoiding management pitfalls is to understand the structural framework, specific objectives, and programs that make up the civilian personnel management system.

9.1.2. Information in this chapter includes civilian resource management; position descriptions (PD) and core personnel documents (CPD); standard core personnel documents (SCPD); staffing; training and development; civilian career programs; sustainment; performance planning, appraisals, and awards; employee conduct and discipline; equal employment opportunity (EEO); substance abuse; and compensation, work hours, and leave administration.

9.1.3. This chapter concludes with a discussion of the labor-management relationship, a brief look at the employment of foreign nationals, and the Air Force's CS and privatization efforts to obtain service in most effective manner.

9.1.4. Many procedures are affected by the provisions of local collective bargaining agreements with labor unions representing employees. Before taking any action, the local bargaining agreement and servicing civilian personnel flight should be consulted to ensure compliance with these and any other local requirements.

Section 9B—Civilian Programs

9.2. Civilian Resource Management:

9.2.1. MAJCOMs and installations budget for civilian employees' pay. The Air Force's objective is to manage civilian human resources within its civilian pay budget, while striking an optimum balance among mission needs, economy and efficiency of operations, balance of skills and career paths, employee development and motivation, and recruitment and retention of a diverse work force of competent personnel. Authority, responsibility, and accountability for civilian resource management are delegated through MAJCOM and installation commanders to the lowest practicable organizational level. These levels constitute budget units for employment planning and budget development and execution.

9.2.2. The civilian human resource budget (HRB) includes the total obligation authority comprised of direct obligating authority (DOA) dollars and earnings from reimbursements and revolving funds. The primary controlling factors in civilian human resource employment planning and execution are financial resources availability (validated by the installation financial management board) and civilian manpower requirements (validated by the installation manpower office).

9.2.3. Managers and supervisors are tasked with fiscal accountability in the execution of their civilian HRB and the establishment of effective work force structures. Structuring the work force to be mission- and cost-effective involves interweaving military and civilian authorizations. Consideration must also be given to the number and size of subordinate units, number and grade levels of civilian positions, and ratio of professional to administrative positions and supervisory to nonsupervisory positions.

9.2.4. Civilian appointments (permanent, term, and temporary) are appropriated for the projected duration of the required workload and available funding. Positions funded through realignment of a DOA source other than civilian pay are not considered permanent positions, and employees should be appointed accordingly. The Air Forced uses the resource allocation process (RAP) to prioritize funds. These decisions are reflected in the FYDP. Therefore, long-term human resource decisions requiring reprogramming of funds from other than civilian pay dollars must be approved through the RAP for inclusion in the FYDP.

9.2.5. Civilian personnel, manpower, and comptroller specialists provide integrated human resource advisory services to managers and supervisors. Civilian cost analysis (CIVCOST) decision support software is available to track and project the budget unit's total civilian pay and benefits costs. Contact a civilian personnel flight (CPF) specialist for assistance.

9.3. Position Descriptions (PD) and Core Personnel Documents (CPD):

9.3.1. A PD is a description of officially assigned duties and responsibilities and is used to determine classification and qualification factors. In the Air Force, we use a single form, the CPD, to integrate the duties and responsibilities, performance plan, and recruitment knowledge, skills, and abilities.

9.3.2. PDs or CPDs are required by the Office of Personnel Management (OPM) for all civilian positions, and they are well-established tools of good management. Position classification (the assignment of pay plan, title, occupational series, and grade to a position) can only be accomplished if there is an accurate PD or CPD for the position.

9.3.3. PDs or CPDs also serve other needs, such as providing useful information to improve work methods and organizational design, evaluating employee qualifications, explaining assignments to new employees, and promoting clarity and uniformity of understanding. Keeping position information current is obviously important. When PDs or CPDs are out-of-date, they no longer reflect management's intentions and could result in incorrect classification. Consequently, it is critical that supervisors ensure the accuracy of each PD or CPD because they are responsible for determining the duties and responsibilities of each position.

9.4. Supervisory Responsibilities for PDs and CPDs. Each supervisor should:

9.4.1. Carefully review the PD or CPS for any vacant position before taking action to fill the vacancy.

9.4.2. Review each PD or CPD at least annually and notify the CPF when there are significant changes in duties and responsibilities assigned.

9.4.3. Assign definite duties, responsibilities, and authorities to positions conforming with the position's purpose as identified in manpower documents and prepare clearly defined PDs and CPDs or select applicable standardized PDs or CPDs for use.

9.4.4. Consider the impact on all other positions before assigning grade-impacting duties.

9.4.5. Advise the manpower and CPF staffs of any proposed position or organizational changes.

9.4.6. Advise employees of their assigned duties and responsibilities, right to review classification standards, and right to appeal position classification decisions.

9.5. Standard Core Personnel Documents (SCPD):

9.5.1. The Air Force Personnel Center's Civilian Personnel Office (AFPC/DPC) has developed a library of SCPDs applicable to many Air Force positions. SCPDs are developed by using representative position descriptions and performance plans from across the Air Force. Each SCPD is reviewed by Air Staff officials responsible for the work involved to ensure the SCPD reflects headquarters Air Force's intent for work accomplishment.

9.5.2. The SCPD Library is an excellent labor saving device for supervisors and should be the first stop for helping in developing CPDs. In fact, HQ USAF/CV memo, 30 September 1996, requires maximum use of SCPDs, where applicable. Approval must be obtained from the appropriate host or tenant commander if an applicable SCPD is not used for a position.

9.6. Developing Unique CPDs:

9.6.1. The SCPD Library also contains CPDs that cover work commonly found in the Air Force. If the work you supervise is not covered by an SCPD, you will need to develop your own CPD. CPDs are written in different formats depending on the type of work involved. There are three CPD formats, each with different requirements, that are used in the Air Force. The three formats are:

9.6.1.1. The Federal Wage System format for trades and labor work.

9.6.1.2. The Factor Evaluation System (FES) format for General Schedule (GS) work covered by standards written in FES format.

9.6.1.3. The narrative format for GS work covered by standards written in narrative format.

9.6.2. Guidance on how to prepare unique CPDs can be found on the Air Force Civilian Personnel Management Information Support System (PERMISS) application located on the AFPC website or from the servicing classification office. PERMISS also contains a template that will assist in the development of unique CPDs.

9.6.3. Another source for preparing CPDs is the COREDOC software developed by DoD. However, documents created in COREDOC require editing to place them in the proper format to meet Air Force requirements for classification, performance management, and staffing.

9.7. Staffing:

9.7.1. The civil service term "staffing" means the same as the military term "personnel procurement." It marks the beginning of the life-cycle approach to civilian career management. The Air Force fills positions from any appropriate recruitment source and grade levels with people who are highly qualified and representative of the civilian labor force in conformance with established priorities and merit system principles.

9.7.2. To reduce the amount of time involved in the staffing process, contact the CPF as soon as a pending or actual vacancy is discovered. It is also important to keep

employees' PDs and CPDs up to date so the hiring process will not be delayed by required revisions. It is most important to work hand in hand with the CPF to ensure established procedures are followed and potentially time-consuming grievances or EEO complaints are avoided.

9.7.3. The staffing process begins when the supervisor sends a Standard Form (SF) 52, **Request for Personnel Action,** or personnel action request (PAR) along with a PD or CPD to the CPF (or AFPC) in accordance with local directives. The supervisor and CPF staff complete a job analysis by determining appropriate knowledge, skills, and abilities needed to perform the duties of the position, as appropriate.

9.7.4. Civil service is an open-entry system allowing an employee to enter at any grade level from a variety of recruitment sources. After all mandatory placements (such as those required by the DoD Priority Placement Program or Reemployment Priority List) have been cleared, the CPF (or AFPC) compiles a list of qualified candidates based on merit and qualification. Depending on the situation, the area of consideration may be limited to candidates from within the unit, other Air Force organizations, Civilian Career Program certificates, other federal agencies, or even the private sector.

9.7.5. Once the supervisor receives the list of candidates, he or she should confer with the CPF to determine specific interview and selection procedures. Depending on the circumstances, the supervisor may interview the candidates. (Some interview requirements may be defined by a locally negotiated agreement with the representative union.) If an interview is used as part of the selection process, the supervisor will arrange the interviews. The CPF may require a review of the interview questions the supervisor plans to ask. All candidates should be asked approximately the same questions, and the interview periods should be of relatively equal length.

9.7.6. Once a selection is made, the supervisor fills out the appropriate documentation so the CPF can validate the selection and process the necessary paperwork. This may include memorandums of nonselection to all candidates who were considered, but not selected.

9.7.7. Centrally managed career programs cover most civilian officer-equivalent positions in the GS-12 through -15 grades. When filling any of these jobs, the SF 52 or PAR goes through the CPF to the AFPC team responsible for the career program. This organization will issue a list of candidates from an Air Force-wide (and sometimes federal-wide) applicant pool. In most cases, a candidate cannot be considered for a career program job without first being registered in the particular career program and meeting the specific program requirements.

9.8. Training and Development. Air Force policy provides for necessary training to ensure maximum efficiency of civilian employee performance. Supervisors are responsible for systematically determining training requirements and working with the CPF or education and training function to identify appropriate training sources. Within funding limits, every employee who requires training will receive an opportunity for training without regard to race, color, religion, sex, national origin, age, disability, or other unrelated factors.

9.8.1. Identifying Training Requirements*:*

9.8.1.1. Supervisors should request, schedule, and conduct training and development activities only after needs (whether present or future) have been clearly identified and defined. The supervisor determines the need through an intensive analysis of specific skills and knowledge requirements and their relationship to the mission and available human resources.

9.8.1.2. The first step in defining training requirements is to compare present and future mission requirements versus the current employee skill levels and projected employee turnover rates (retirements, PCS, etc.). Other training needs become evident after a more detailed analysis of individual performance levels is matched against skill or knowledge requirements.

9.8.1.3. A training need exists when employee skill levels do not match required mission or performance levels. Reorganization, mission changes, new technology, excessive backlogs or waste, bottlenecks in production, or poor work organization are just a few of the many indicators of possible training needs. Inadequate performance, however, is not always a characteristic of a knowledge deficiency requiring training.

9.8.1.4. The civilian career programs administer leadership and managerial training development for covered occupations and issue a training guide each year to assist in documenting training needs.

9.8.1.5. A training-needs survey is conducted annually and provides an opportunity for the supervisor to project training requirements for the upcoming fiscal year. The employee development specialist (EDS) will provide information on available training opportunities. Mission-essential training, however, can be scheduled at any time, and the supervisor need not wait for the training survey.

9.8.1.6. Although first-line supervisors are the key individuals in determining development needs, a comprehensive analysis cannot be done in isolation. Supervisors may need information from higher level management, other supervisors, or the employees themselves. The servicing EDS is available to assist in

training needs analysis and identification of methods and training sources. In all situations, a thorough analysis of the situation should be conducted before committing training resources. Also contact the EDS for availability of funds.

9.8.1.7. Not all training and development needs can or should be met through Air Force sponsorship. Employees are responsible for independently pursuing training and education that will prepare them for promotion or develop them for career transitions. Such self-development activity is employee initiated and accomplished during off-duty hours. Supervisors should encourage civilian employees to participate in self-development activities, when appropriate.

9.8.2. Training Sources. Once training needs are identified, the next step is to determine training sources. The three primary sources of training are agency, interagency, and nongovernment.

9.8.2.1. Agency Training. Agency training is conducted by the employer, and may include on-the-job training (OJT), in-house training, and Air Force formal schools.

9.8.2.1.1. OJT and in-house training are often the most effective because the employer tailors the training to meet the specific job requirements. OJT can be as casual as giving a few pointers to a new worker or as formal as a fully structured training program with timetables and specified subjects. It can also include directing employees to appropriate publications for self-study.

9.8.2.1.2. Some functional activities also use in-house training. This type of training is very effective when a large number of employees need instruction on common aspects of occupational skill requirements. The servicing EDS can provide assistance in developing OJT and/or in-house training.

9.8.2.1.3. More formalized agency classroom training is also available through Air Force formal schools listed in the database *Air Force Education and Training Course Announcements (ETCA)* located at the following URL: http://hq2af.keesler.af.mil/etca.htm. These courses are administered through the Training Management System and include training offered by Air Education and Training Command (AETC) and the Air Force Institute of Technology (AFIT).

9.8.2.1.4. The civilian career programs plan for and sponsor developmental assignments, tuition assistance, formal training, and education to develop current and future managers. Other leadership and management development opportunities, including intermediate service school and senior service school, are sponsored through the Civilian Competitive Development Program (CCDP). Information on CCDP programs is available at http://www.dp.hq.af.mil/dps/ccdp.htm.

9.8.2.2. Interagency Training. This training may be needed if agency sources are not adequate to meet identified training needs. Interagency training includes all training sponsored by government agencies outside the employing agency. OPM, other Services, and the US Department of Labor are just a few sources from which to obtain training. The CPF training office has additional information on interagency training sources and curriculum.

9.8.2.3. Nongovernment Training. Federal regulations require agencies to consider and select government training sources before turning to nongovernment alternatives. However, nongovernment sources may be considered when agency or interagency courses cannot satisfy the training need or when nongovernment training is more advantageous. Nongovernment sources incorporate a wide range of seminars, conferences, courses, and workshops as well as curricula offered by private educational institutions.

9.9. Civilian Career Programs:

9.9.1. Supervisors should also be aware of the various career programs available to civilian employees. The goal of career programs is to hire, develop, advance, and retain high quality civilians for current and future key leadership and management positions. Headquarters, Air Force, Directorate of Personnel Force Management (HQ USAF/DPF), and functional managers work together in determining policies for career programs. HQ AFPC's Civilian Career Management Directorate (AFPC/DPK), administers career program activities. Two significant contributions of career programs to Air Force mission readiness are utilization of planned civilian career management and force renewal through centralized recruitment and the training of mobile career interns. The career programs provide an excellent means for management to replenish its work force and effectively plan for and control the effects of attrition.

9.9.2. Most officer-equivalent GS-12 to -15 jobs are covered by 17 civilian career programs. With the participation of functional managers at all levels, each career programs develops career paths and ladders, develops promotion plans and evaluation criteria, and sponsors education, training, and development opportunities. The functional administrators on the PALACE teams (AFPC career program teams) serve as points of contact for field employees who have questions regarding career opportunities.

9.9.3. Program coverage differs among each functional area, but generally includes the management of officer-

equivalent positions and employees.

9.9.4. The local CPF should have a copy of the Career Program Advisory Service's reference guide with specific information on these programs. In addition, the AFPC career program web site also has this information available as a downloadable, word-processing document.

9.10. Sustainment:

9.10.1. Sustainment is a continuous activity of setting standards, advancing careers, evaluating performance, providing incentives and rewards, maintaining discipline, and managing other day-to-day programs.

9.10.2. The essence of sustainment is ensuring employees perform at their peak performance levels. Therefore, sustainment strategies address both the tangible and intangible means of motivating them throughout their civil service careers. These programs include a blend of basic compensation, merit promotion, and performance management systems. The various fringe benefits and quality of working life issues such as retirement systems, thrift savings program, health and wellness programs, and life and health insurance coverage all affect the civilian work force.

9.11. Performance Planning, Appraisals, and Awards. (These are combined here because of their interrelationships.) The employee is advised of the major duties and responsibilities of the job and his or her supervisor's expectations (performance plan). In addition, the employee is apprised of how well these expectations are met (appraisals) and recognized for exceptional performance (awards), where appropriate.

9.11.1. Performance Planning. This is a continuous process in which managers and supervisors define performance elements (duties), set performance standards (expectations), and communicate elements and standards in writing to the employee.

9.11.1.1. Performance elements are descriptive, and they relate to what needs to be done. Supervisors set the performance elements (duties and tasks) for the civilian employees they supervise. In developing an employee's performance elements, supervisors determine the major and important requirements of the employee's job based on the employee's direct contribution to the organization's or work unit's objectives.

9.11.1.2. Performance standards prescribe how a particular element or duty is to be accomplished. Set by supervisors, the standards must reflect levels necessary for acceptable performance. When possible, supervisors should identify observable behaviors which lead to success on the job. ***NOTE:*** Elements and standards are documented in writing on AF Form 860, **Civilian Performance Plan,** unless a CPD is used. A CPD will contain both the PD and the performance plan.

9.11.2. Performance Appraisals. These serve as the basis for making personnel decisions to train, reward, assign, promote, retain, and remove employees. The performance appraisal is the basis for a total performance management program to identify and correct work performance problems, recognize and reward quality performance, improve productivity, and grant periodic pay increases. Supervisors review the employee's performance of each element and rate the performance against each element's standards. Then, an overall summary rating is rendered. AFI 36-1001, *Managing the Civilian Performance Program*, provides guidance for evaluating civilian employee performance and describes the requirements for new supervisor probationary periods.

9.11.3. Awards:

9.11.3.1. Awards motivate and compensate individuals whose superior work performance or other special accomplishments warrant recognition. Effective management of the awards program can improve productivity and morale in the organization and serve to motivate employees toward superior performance.

9.11.3.2. Performance cash awards are recommended in conjunction with annual performance ratings for GS and Federal Wage System (FWS) employees. A quality step increase may be recommended with the annual rating for GS employees. A special act or service award or notable achievement award may recognize special accomplishments that meet the criteria in AFI 36-1004, *Managing the Civilian Recognition Program.* Time-off awards are also available. Honorary recognition for extraordinary accomplishments or valor may also be appropriate.

9.12. Employee Conduct and Discipline. These are essential for maintaining public confidence in the Air Force. To effectively manage civilian employees, supervisors must establish standards of conduct based on Air Force directives. Furthermore, they must know what to do and what not to do when an employee's conduct violates established standards. Employees must comply with prescribed standards of conduct in all official matters. They are expected to maintain high job standards, be honest, and possess integrity according to the Code of Ethics for Government Service in DoD 5500.7-R, *Joint Ethics Regulation (JER).*

9.12.1. Employee Conduct:

9.12.1.1. Civilian employees must recognize that public office is a public trust and they earn this trust by

adherence to reasonable standards of conduct. These standards appear in DoD 5500.7-R and AFI 36-703, *Civilian Conduct and Responsibility*. Employees may not canvass, solicit, or peddle among employees at Air Force activities during work hours. They may participate in public or civic activities to support or oppose causes, policies, or government programs if this participation does not interfere with mission accomplishment, bring discredit to the Air Force, or create an actual or apparent conflict of interest with the employee's official duties.

9.12.1.2. Civilian employees must be present for duty unless authorized to be absent. They must follow directives and comply with orders or instructions. They are obligated to discharge assigned duties effectively and meet performance standards. They must also comply with reasonable apparel and grooming standards derived from consideration for health, safety, and their type of job. A breach of these conduct standards can lead to disciplinary action.

9.12.2. Employee Discipline:

9.12.2.1. Disciplinary action is taken to correct an employee's misconduct or performance when the employee can control the essentials of the performance problems and has the skills, knowledge, and capacity to perform well, but is unwilling to do so. The guidance is found in AFI 36-704, *Discipline and Adverse Action.*

9.12.2.2. The Air Force goal in the area of civilian discipline is to attain and maintain a constructive work environment. If a disciplinary or adverse action must be taken against a civilian employee, it must be done without regard to race, color, religion, sex, national origin, age, disability, or other factors (such as marital status or politics), except as required by law. Actions based on an employee's inability to perform because of a physical or mental disability should only be taken when the employee's disability cannot be reasonably accommodated.

9.12.2.3. The employee must receive advance notice of impending actions. Disciplinary or adverse actions must be prompt and equitable, complying with the intent and letter of all governing requirements, and respect must be given to the private nature of the actions.

9.12.2.4. Proper administration of discipline is a chief concern of labor organizations representing Air Force employees. Procedures governing disciplinary and adverse actions are common features of most Air Force labor agreements. Moreover, a basic tenet of federal labor relations law states that an employee who is a member of a bargaining unit has a right to union representation *(upon the employee's request)* during an investigatory interview where the employee reasonably believes disciplinary action may result from the interview.

9.12.2.5. The oral admonishment—the least severe disciplinary action—is often adequate to affect improvement or correction of work habits or behavior. For significant misconduct or repeated infractions, a written reprimand may be an appropriate penalty.

9.12.2.6. Suspension is a disciplinary action that may be imposed for more serious infractions when the situation indicates that a lesser penalty is not adequate. A suspension is a particularly severe disciplinary action that places the employee in a nonpay and nonduty status.

9.12.2.7. Reprimands are recorded in the employee's personnel records for a specified period as directed by AFI 36-704 or an applicable negotiated labor-management contract.

9.12.2.8. For employees who fail to respond to oral admonishments, reprimands, or suspensions, removal may occur. Like all other disciplinary actions, the supervisor must ensure it is warranted and well documented. Reprimands, suspensions, and removals must be coordinated with the CPF so a procedural violation or an administrative oversight does not jeopardize a valid disciplinary action.

9.12.2.9. Employees have the right to appeal or grieve disciplinary actions they consider unjust by using applicable procedures. The CPF can also advise supervisors on appeal or grievance procedures.

9.13. Equal Employment Opportunity (EEO). Within recent years, probably no area has received as much emphasis at all levels of government as EEO. Rather than attempting to interpret legislative or administrative rulings applicable to EEO, this information centers on a broad view of the Air Force EEO structure applicable to civilian employees. AFI 36-1201, *Discrimination Complaints*, Equal Employment Opportunity Commission (EEOC) directives, and interim Air Force guidance provide the basis for this information.

9.13.1. Air Force EEO Structure:

9.13.1.1. EEO Positions:

9.13.1.1.1. The HQ USAF Director, Personnel Force Development, develops Air Force policy and programs including adaptation of EEOC guidelines on affirmative employment plans and discrimination complaints. At HQ USAF level, civilian affirmative employment program planning and EEO policies are coordinated with military personnel officials to ensure a total force approach.

9.13.1.1.2. At MAJCOM and base levels, the directors of

civilian personnel and civilian personnel officers appoint members of their staffs to serve in EEO program positions. MAJCOM responsibilities include ensuring resource availability for EEO programs, training EEO counselors, analyzing affirmative employment plans, and monitoring EEO and affirmative employment progress. At base level, the affirmative employment chief coordinates development and implementation of the affirmative employment program and affirmative employment plan. This individual must also participate in community activities and maintain an awareness of minority groups' and women's expectations and concerns.

9.13.1.2. Chief EEO Counselor. This person is a key individual in the EEO structure. He or she reports to the wing commander and performs counseling activities related to discrimination complaints and complaints processing. The counselor's actions include attempts to resolve complaints in the informal complaint phase.

9.13.1.3. EEO Advisory Committee. This committee is responsible for a variety of actions to include reviewing affirmative employment progress and evaluating complaint trends. Committee membership includes the installation commander or designee, civilian personnel officer, supervisors, union representatives, chief EEO counselor, Affirmative Employment Program (AEP) chief, special emphasis program managers (SEPM), and employee representatives.

9.13.1.4. SEPMs:

9.13.1.4.1. These persons perform a vital role in planning and implementing the AEP. They serve as advisors to both management and the work force, operating under the direction and guidance of the AEP chief.

9.13.1.4.2. They are appointed in the following categories: Persons With Disabilities Program manager, Federal Women's Program manager, Black Employment Program manager, and Hispanic Employment Program manager. An American Indian or Alaskan Native Employment Program manager and an Asian American or Pacific Islander Employment Program manager may also be designated if needed.

9.13.1.5. Complaint Administration. Despite the existence of an active EEO education and awareness program, discrimination complaints can still occur. Employees who believe they were discriminated against have the right to file a complaint. Employees who are covered by a labor agreement permitting discrimination complaints under its negotiated grievance procedures may file a grievance. They may also file a discrimination complaint under procedures in AFI 36-1201. (However they cannot file under both procedures.) When an employee chooses the AFI 36-1201 process, the following guidance applies:

9.13.1.5.1.1. To preserve the right to file a formal complaint, the complainant must contact an EEO counselor within 45 days of the alleged offense. The EEO counselor will first attempt to solve the matter informally. If the complainant is not satisfied with this action, the complainant may file a formal complaint.

9.13.1.5.1.2. The Defense Office of Complaint Investigations (OCI) investigates all formal complaints. The OCI investigators issue an investigation report to the wing commander who, in turn, gives a copy to the complainant. The complainant can then request a formal hearing by the EEOC, or the complainant will be issued the final agency decision.

9.13.1.5.1.3. If the EEOC conducts a hearing, it notifies the Air Force Deputy for Review Boards (SAF/MIB) of its decision. In turn, this office may appeal the decision to the Office of Federal Operations on behalf of the Air Force.

9.13.1.5.1.4. The complainant may appeal the EEOC decision to the Office of Federal Operations of the EEOC and subsequently file a civil action.

9.13.1.5.1.5. Any time the administrative complaint process exceeds 180 days, the complainant has the right to file a civil action.

9.13.1.5.1.6. Complainants alleging age (40 and over) discrimination may bypass the administrative process and file directly in court.

9.14. Substance Abuse:

9.14.1. The Air Force establishes policies and procedures on prevention, reduction, and control of substance abuse among civilian employees, including the rehabilitation of abusers. The program objective is to improve the health, productivity, and quality of the civilian work force.

9.14.2. Every civilian employee's performance must, at all times, support the mission with a high level of productivity, reliability, and judgment. The Air Force performs initial assessment of employee substance abuse problems and provides evaluation and referral service. The cost of any alcohol or drug treatment program is the employee's responsibility. Civilian employees concerned must acknowledge the problem and seek help or face discipline, which may include removal. The range of disciplinary action will depend on the specific circumstances of each case. An employee may be removed or an applicant may be denied employment under the substance abuse program.

9.15. Compensation, Work Hours, and Leave Administration. Noticeable differences exist in compensation, work hours, and leave between Air Force civilian and military personnel. The following are a few of the most notable:

9.15.1. Compensation:

9.15.1.1. Pay:

9.15.1.1.1. The Federal Employees' Pay Comparability Act of 1990 revised the manner in which white-collar pay (GS) is determined. The legislation introduced several new pay flexibilities that are available to enhance employee recruitment and retention. One example is recruitment and relocation bonuses. In addition, an annual adjustment to pay schedules normally provides general increases to the GS. On 1 January 1994, locality adjustments were added in the CONUS, based on a survey comparison with non-federal salaries.

9.15.1.1.2. In addition to the comparability adjustments, individual employees are eligible for longevity increases called within-grade increases (WGI) when their performance is fully successful or better, as reflected in their annual performance rating. Pay rates for FWS employees are adjusted each year based on locality wage surveys conducted by the DoD Wage-Setting Division. FWS employees are also eligible for WGIs.

9.15.1.2. Injury:

9.15.1.2.1. Civilian employees who are injured or develop an occupational illness as a result of job-related factors may be eligible for compensatory payments (injury compensation) under the Federal Employees' Compensation Act.

9.15.1.2.2. Supervisors are responsible for enforcing safety and health regulations. On receiving a report of an injury or illness, the supervisor must ensure the employee receives prompt medical care. In addition, the supervisor must complete the supervisory portion of the proper US Department of Labor forms and provide the forms to the employee. All injuries and illnesses should be reported promptly to the injury compensation program administrator in the CPF.

9.15.2. Work Hours:

9.15.2.1. Civilian work hours are more precisely defined and less flexible than those of the active duty military. Civilian work schedules are defined in such terms as administrative workweek, basic workweek, regular tour of duty, uncommon tour of duty, and part-time tour of duty.

9.15.2.2. Most civilians work a regular tour of duty. Normally, this is five 8-hour days, Monday through Friday. Uncommon tours of duty (a 40-hour basic workweek that includes Saturday and/or Sunday or fewer than 5 days, but not more than 6 days, of a 7-day administrative work week) are authorized when necessary for efficiency or cost reduction.

9.15.2.3. Special circumstances permit part-time, intermittent, or special tours of duty. Installation and tenant commanders establish, by written order, daily work hours to include designated rest and lunch periods. The order can also establish alternative (flexible or compressed) work schedules. Employees must receive at least 1 week's notice before their tour of duty is changed except as provided under an alternate work schedule or for educational purposes. AFI 36-807, *Weekly and Daily Scheduling of Work and Holiday Observances,* provides guidance on these topics.

9.15.3. Leave Administration. Civilian leave provisions are more complex than those for military personnel. The guidance can be found in AFI 36-815, *Absence and Leave.* The amount of annual leave full-time civilian employees receive depends on their length of service. All full-time employees also earn 13 days of sick leave a year. The Air Force pay system charges this leave in 15-minute increments. Keep in mind that labor agreements may specify procedures and conditions for requesting leave and related matters.

9.16. Conclusion:

9.16.1. This section presented a broad structural overview of Air Force civilian personnel management. The numerous guidelines and policies presented affect both the Air Force civilian and the military supervisor. From the information in this section, it should be apparent that there are considerable differences between the military and civilian work forces. Supervisors must integrate all members' efforts toward common goals and objectives.

9.16.2. This information is not intended to make any supervisor an "instant expert" in civilian personnel matters, but should help military supervisors recognize a potential problem situation and seek the advice of appropriate civilian personnel specialists when warranted.

9.16.3. In addition to the various sources governing civilian personnel matters, collective-bargaining agreements also help establish the terms and conditions of employment. This includes personnel policies, practices, and working conditions of most Air Force civilian employees. These agreements cover about 70 percent of the civilian work force.

Section 9C—The Labor Union

9.17. Union and Government Relationship. Many Air Force supervisors wonder why they should be concerned with labor unions. Considering the fact that approximately 70 percent of all Air Force civilian employees are members of a union's bargaining unit, Air Force supervisors must have an insight into the aims and objectives of unions and a thorough understanding of good labor relations. Success as a supervisor may depend on the relationship management has with the union. Guidance is provided in AFI 36-701, *Labor Management Relations.*

9.17.1. Management Versus Union Objectives:

9.17.1.1. Management goals are to maintain, preserve, and strengthen the organization. Beyond this, management wants to retain control and make corporate decisions in its best interests. Management also wants to maintain harmonious relations with the union to promote productivity within the work force.

9.17.1.2. Traditionally, unions seek to strengthen and preserve themselves, while providing for the social and economic needs of their members. Improved working conditions, safety, and job security are among the primary union objectives. Unions often promote broad social and economic reforms.

9.17.2. Partnerships:

9.17.2.1. On October 1, 1993, President Clinton signed EO 12871, *Labor-Management Partnerships*, mandating the establishment of labor-management partnerships throughout the executive branch. This EO created partnerships where management and labor work together to help reform government. By jointly crafting solutions to identified problems to better serve the agency's customers and mission, these partnerships have changed the traditionally adversarial relationship between union and management.

9.17.2.2. Based on EO 12871, President Clinton signed EO 12974, *Continuance of Certain Advisory Committees*, which added the Senior Executive Association and Federal Managers Association as members of the National Partnership Council, and EO 12983, *Amendment to Executive Order 12871*.

9.18. Key Players:

9.18.1. Commanders. Commanders administer the labor relations program under Air Force direction. They make decisions affecting the labor relations climate, such as selecting management representatives for base-level negotiating teams. Commanders often deal directly with local union officers.

9.18.2. Supervisors. Supervisors help formulate official policy and represent management in the administration of policy and labor-management agreements. Although commanders are ultimately responsible for the labor relations program, supervisors implement it in day-to-day activities.

9.18.3. Bargaining Unit Member. This is an employee who is part of a formally recognized employee group. This group shares clear and identifiable interests and has elected to organize as a unit. The unit may consist of both union and nonunion employees. Nevertheless, a union representing a unit of employees, by law, is entitled to act for and negotiate collective-bargaining agreements covering all unit employees.

9.18.4. Labor Relations Specialists. These persons advise commanders, supervisors, and other members of management on labor relations. Most Air Force bases have labor relations specialists assigned to the CPF. Virtually every aspect of labor relations should be discussed and coordinated with labor relations specialists. They are frequently the spokespersons for management at the bargaining table and the focal point for processing grievances at the local level.

9.18.5. Union Steward:

9.18.5.1. There are a variety of union officials who may act for and make commitments for the unions. These include elected officers such as the president, vice presidents, treasurers, etc., and appointed officials such as stewards and union delegates to special meetings or projects.

9.18.5.2. It is important to clearly understand the authority of the union official you are working with. As a democratic organization, the union official may be required to present issues to a committee, such as a bargaining committee, for approval. At other times the official may have been delegated authority to make commitments. Understanding the authority will help alleviate misunderstandings and the perceptions that the union is uncooperative.

9.18.5.3. Union officials are exercising their rights granted under law, and management may not take any reprisal action against union officials, or any employee, for union activities. Many managers will have their most frequent contacts with union stewards and should cultivate a good working relationship characterized by mutual trust, respect, and professionalism.

9.18.5.4. One of the duties of the steward is to raise employee concerns in the early stages of policy

formulation and to resolve employee complaints. Managers should strive to work with union officials, particularly where grievances have been filed, in a professional, nondefensive manner.

9.19. Labor Contract:

9.19.1. Collective Bargaining:

9.19.1.1. This is the negotiation process by which management and union officials come to an agreement. The labor agreement, commonly called the labor contract, is the result of collective bargaining. This contract serves as a means of communication between labor and management, and it sets policy for both sides. It documents the results of the labor-management negotiations for review by supervisors and union leaders.

9.19.1.2. Management and union officials should develop a clear, concise labor contract because its administration, from negotiations through implementation, often determines the labor relations climate. Additionally, neither side should loosely interpret the labor contract, as it represents a mutual agreement.

9.19.2. Administration of the Labor Contract:

9.19.2.1. Administration begins when management relates the contract terms to the employees. First-line supervisors are tasked to ensure working conditions are in accordance with the union contract. Supervisors should study the labor contract and become familiar with all the provisions, particularly those concerning overtime, seniority, grievance procedures, and disciplinary actions.

9.19.2.2. Grievances and complaints should be settled at the lowest level possible. When an employee submits a grievance, the labor or employee relations specialists in the CPF should be consulted immediately to ensure compliance with local procedures and time limits. Therefore, the initial resolution burden rests with the first-line supervisor. To adequately prepare, supervisors should read pertinent EOs and regulations and follow them to the letter.

9.19.3. Grievances:

9.19.3.1. The grievance procedure is a method for identifying a complaint by an employee in a simple, clear, and fair way. A grievance may identify an employee's dissatisfaction with areas such as safety, merit promotion system, and or management's compliance with the labor contract or other directives. Federal law requires grievance procedures be established in labor contracts, allowing employees to bring their complaints to management's attention. If a civilian employee is not covered by the labor contract, AFI 36-1203, *Administrative Grievance System,* specifies how to file the grievance.

9.19.3.2. When an employee submits a grievance, everyone in the immediate chain of command and the labor relations or employee relations specialist at the CPF should be notified, because time limits are involved. Follow the specific procedures established in the labor contract or in AFI 36-1203.

9.19.4. Dispute Resolution:

9.19.4.1. This involves obtaining the services of a disinterested third party, agreed on by both parties involved in the dispute, who assists the parties in reaching a solution. The third party, or mediator, does not decide for the interested parties. He or she merely helps the disputing parties reach a mutually agreeable solution while the parties still have a measure of control over the outcome.

9.19.4.2. The Air Force encourages alternative dispute resolution approaches such as mediation, settlement conferences, or other dispute techniques whenever possible. This process has proven to be more cost effective than litigation and more successful in the long term because each of the parties has a stake in the outcome.

9.19.5. Arbitration:

9.19.5.1. This is the final step in the formal negotiated grievance process. Arbitration simply means that both management and labor agree to let an outsider settle the grievance. Fees and expenses for arbitration are normally borne equally by management and the union, unless otherwise specified by the labor contract.

9.19.5.2. The labor contract provides procedures for submitting grievances to arbitration. The parties will jointly or individually ask the Federal Mediation and Conciliation Service or the appropriate regional office of the American Arbitration Association to provide labor and management with the names and brief biographies of five to seven prospective arbitrators.

9.19.5.3. The collective-bargaining agreement should set forth procedures by which labor and management representatives select an arbitrator. The arbitrator conducts the hearing, allowing both parties to call witnesses and to provide evidence to support their positions. After the hearing, the arbitrator must issue a written decision within 30 days, unless the parties provide for a shorter or longer period in their collective-bargaining agreements. Unless either party appeals, the arbitrator's decision is final and binding.

9.20. Unfair Labor Practices (ULP). The Federal Labor Relations Authority (FLRA) General Counsel investigates any alleged ULP, regardless of whether management or the union makes the charge. If the FLRA General Counsel determines there may be justification for the charge, it will hold a hearing and make a final ruling on the matter. This ruling is binding on all parties unless it is subjected to judicial challenge by any one of the parties.

9.20.1. Management will not:

9.20.1.1. Interfere with, restrain, or coerce employees with respect to union membership.

9.20.1.2. Discriminate in conditions of work because of union membership, including hiring, tenure, promotion, and other conditions.

9.20.1.3. Sponsor, control, or assist labor organizations except to provide routine services and facilities that are also furnished to other labor organizations on an impartial basis.

9.20.1.4. Discriminate (or discipline) because an employee files a complaint or grievance.

9.20.1.5. Refuse to bargain in good faith (negotiate).

9.20.1.6. Fail or refuse to cooperate in impasse procedures and decisions.

9.20.1.7. Enforce rules and regulations dated after the collective-bargaining agreement that are in conflict with that agreement.

9.20.1.8. Fail to comply with Title VII, Civil Service Reform Act (CSRA).

9.20.2. Unions will not:

9.20.2.1. Interfere with, restrain, or coerce employees with respect to union membership.

9.20.2.2. Cause management to discriminate against or coerce employees.

9.20.2.3. Discriminate, discipline, or take any action to hinder or impede an employee's work performance.

9.20.2.4. Discriminate with regard to, or in terms of, conditions of union membership based on race, color, religion, gender, national origin, age, handicap, marital status, or other similar factors.

9.20.2.5. Refuse to bargain in good faith (negotiate).

9.20.2.6. Fail to cooperate in impasse procedures and decisions.

9.20.2.7. Participate in or fail to take action to prevent a strike, work stoppage, slowdown, or picketing that interferes with an agency's operation.

Section 9D—Foreign Nationals

9.21. Employing Foreign Nationals:

9.21.1. An overseas assignment may place a SNCO in the position of supervising foreign national employees. Most American treaties with host nations include requirements for employing specified numbers of local nationals. Employee management is governed by agreements that should provide a work force that is stable, efficient, and economical, local conditions permitting.

9.21.2. Although the specific details of any foreign national agreement will vary by country, the agreement should satisfy the following two principles: (1) Prevailing practices, local laws, and customs shall be followed in the employment and administration of foreign nationals when the practices, laws, or customs are not in conflict with US law and are compatible with the basic management needs of the US Forces; and (2) Foreign nationals shall be employed as extensively as practicable, consistent with any agreement with the host country and DoD dependent-hire policies, to reduce the need to import workers.

9.22. Actions Concerning Foreign Nationals. Because employment systems, administrative procedures, and management practices vary from country to country, supervisors should seek the advice and guidance of the installation CPF before taking any action concerning a foreign national employee.

9.23. Conclusion. This chapter provided an overview of the Air Force civilian personnel management system and included civilian programs, the labor union, and foreign nationals. Today, perhaps more than ever, the Air Force must maximize its civilian employees' efficiency and effectiveness. SNCOs need an understanding of civilian issues to work as effective supervisors and accomplish the Air Force mission.

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Chapter 10

STAFF-LEVEL COMMUNICATION

10.1. Introduction. Clear communication is essential to efficient military operations. Every NCO needs to be a skilled communicator to be an effective manager and leader. AFPAM 36-2241, Volume 1, discusses basic communication skills—writing, reading, speaking, and listening. This chapter focuses on staff-level communication and includes information on conferences to help facilitate spoken communications. It also provides "how to" guidance for several instruments of written communication—AF Form 1768, **Staff Summary Sheet,** bullet background paper, short-note reply, trip report, and staff study report.

10.2. Spoken Communication via the Conference. Air Force communication can be complex due to the technical nature of our business. However, it is imperative that it be clear, concise and *simple*. The conference is one way to facilitate good spoken communication. It gives people a forum for "facing down" a problem and quickly hammering out technical or binding issues. From the Secretary of the Air Force down to the newest airman basic, we all have or will participate in conferences. We may even be responsible for organizing and chairing a conference. This section reviews the purpose, discusses types, and outlines how to prepare and conduct a conference. ***NOTE:*** The word "conference" in this chapter also refers to meetings, group sessions, and workshops.

10.2.1. Purpose. Conferences are used to provide information, solve problems, and negotiate agreements. The best way to understand the different conference types is to look at the following examples:

10.2.1.1. Informative Conference. An informative conference teaches. For example, new equipment is received and subordinates need to know how it operates. An informative conference is an effective way to discuss how the new equipment will affect the subordinates, rather than simply briefing them about the equipment. The informative conference is also useful for discussing a variety of topics. For the conference to be successful, each attendee must have background knowledge of the topic before the conference begins.

10.2.1.2. Problem-Solving Conference. Air Force leaders seeking a solution can profit from experts' knowledge and experience through a problem-solving conference. For example, a section consistently late in meeting commitments may affect the entire unit. A conference of the key personnel might be called to decide the best way to achieve common goals.

10.2.1.3. Negotiation Conference. The objective of the negotiation conference is to find a solution acceptable to all parties. This conference is useful when a situation has two or more incompatible solutions, points of view, or approaches, but no one can or will make a decision. The monthly maintenance and operations meeting for aircraft scheduling is a typical negotiation conference. The maintenance section tries to maintain an ideal workload, but the operations section needs the aircraft to meet training and operational requirements. Experience shows these sections work better together when they discuss, negotiate, and find a compromise. The Air Force often conducts business and gains support through negotiation conferences.

10.2.2. Steps in Conference Preparations:

10.2.2.1. The first step is to analyze the purpose, the objective of the conference. Become familiar with the topic and plan accordingly. Is the objective to inform, solve a problem, or negotiate an agreement? Define goals or objectives. When hosting a conference for someone of a higher grade, follow the general guidelines received from that individual.

10.2.2.2. The second step is to set a date and place. Select a date that will not conflict with other scheduled activities. It is important to reserve a facility well in advance, one that is large enough to accommodate the number of people expected. Also, consider the availability of temporary quarters for individuals coming from out of town. If possible, reserve government quarters to reduce the cost.

10.2.2.3. The third step is to send a notice to the tentative attendees' units or sections. Request each attendee's name, grade, duty phone number, e-mail address, and position. Include an agenda with the place, date, time, length, purpose, and proposed discussion topics. Include lodging information (if arrangements have been made), or state that the attendee is responsible for making his or her own billeting reservations.

10.2.2.4. The fourth step is to research the attendees' background knowledge to determine the approach and discussion depth. Keep the conference goals in mind. If a decision is required, ensure the person with the influence or authority to make the decision is at the conference and prepared to make the decision.

10.2.2.5. The fifth step is to construct a discussion plan. This is an expanded agenda used as a personal checklist to ensure conference goals are met. Prepare an introduction

or ask a key member to make an introduction to orient and motivate the attendees. The introduction should include an overview of the discussion topics. Prepare questions to stimulate discussion and keep the attendees moving toward the goals. If possible, anticipate areas needing research and include necessary material in the discussion plan.

10.2.2.6. The final step is to prepare the conference site. Remember, first impressions are lasting ones. The conference could get off to a bad start because of poor facilities. Ensure there are sufficient tables, chairs, and training aids. Check the room for proper ventilation, temperature, and lighting. If you need presentation equipment, verify that it works. Be prepared. Have extra supplies available, such as projection bulbs, markers, tape, pencils, and paper. Ensure telephones are available in case attendees need to contact their units or duty sections.

10.2.3. Conducting a Conference. The success or failure of a conference lies largely with its leader. A leader's zest and enthusiasm must be real, apparent, and contagious. The leader is responsible for "getting the ball rolling" and making the attendees feel it is their meeting and its success depends on their participation. A good, thorough introduction helps establish the right climate. Success hinges on following certain guidelines:

10.2.3.1. Introduce Attendees. When it is time to start, introduce yourself and ask attendees to introduce themselves and tell what base or unit they represent. If you know all the attendees, you may want to make the introductions.

10.2.3.2. Establish Procedures and Ground Rules:

10.2.3.2.1. Attendees share the responsibility for a successful conference. Tell the attendees your role is to guide; their role is to carry the discussion. Point out that success depends on interaction, and encourage each attendee to participate. Attendees may be reserved until they begin to feel comfortable. Remember, those attending their first conference would probably prefer to listen rather than talk, but encourage everyone to contribute.

10.2.3.2.2. Successful conference activity usually takes place in an informal atmosphere. However, even when keeping the atmosphere informal, establish a few ground rules to ensure the best use of time. Ensure attendees are familiar with and accept these ground rules before you start.

10.2.3.3. Encourage Discussion. Present the topic in a way the attendees will feel it is important. Be brief and to the point, but take time to present the topic forcefully. Ensure the attendees understand the purpose (inform, solve problems, or negotiate agreements). Then let the conference take its natural course. Only interject when necessary, especially when attendees stray from the subject. Before closing a conference, summarize and clearly state the solution or conclusions reached. The members should leave with a feeling of accomplishment.

10.2.3.4. Complete the Paperwork. No job is ever complete until the paperwork is done. It is important to document the discussion and agreements reached and provide a copy of this account (minutes) to each participant and other affected parties. This ensures there is no misunderstanding and allows for followup action later. The written account must be clear, concise, and simple.

10.2.4. Participating in a Conference. When participating in a conference, examine the specific purpose and review background information. Whether you are the conference leader or a participant, adequate preparation is the key to success.

10.3. Instruments of Written Communication:

10.3.1. Overview:

10.3.1.1. Air Force personnel process an enormous amount of written communication. A former Air Force Vice Chief of Staff once commented that he had looked at 13,000 pieces of paper in a 5-day period. Think how much easier and more economical it would be if people would use the telephone, send an e-mail, or write a short note.

10.3.1.2. To write or not to write—that is the question. If assigned a writing task, there is no option. However, if someone is looking for a specific answer, find out if they need a short answer or a detailed one. Can the requirement be met with a telephone call, e-mail, or short note or is something more necessary?

10.3.1.3. This chapter provides various forms of correspondence used in the Air Force. AFMAN 33-326, *Preparing Official Communications,* and AFH 33-337, *The Tongue and Quill,* also offer help.

10.3.2. AF Form 1768, Staff Summary Sheet:

10.3.2.1. Commonly referred to as "SSS" or "triple-S," this form serves as a cover for action papers and information going to higher levels. It provides a concise summary of staff actions decision-makers can review or act on. Other uses include summarizing and explaining important aspects of complex problems or providing background information.

10.3.2.2. Figure 10.1 contains information needed to complete this form. When prepared properly, it is an excellent vehicle for obtaining a formal decision, while saving time and effort.

Figure 10.1. The Staff Summary Sheet.

STAFF SUMMARY SHEET

	TO	ACTION	SIGNATURE (*Surname*), GRADE AND DATE		TO	ACTION	SIGNATURE (*Surname*), GRADE AND DATE
1	DOEA	Coord		6			*Sign our surname, rank or grade, and date on the bottom line if you are the addressee; sign on the top line if you aren't the addressee.*
2	DOE	Coord		7			
3	DO	Sign		8			*If more than 10 coordinators, use another form, renumber, and fill in all info through Subject line.*
4				9			
5				10			

SURNAME OF ACTION OFFICER AND GRADE	SYMBOL	PHONE	TYPIST'S INITIALS	SUSPENSE DATE
CMSgt Bass	OMP	652-4075	kqr	20010618

SUBJECT	DATE
Preparation of the Staff Summary Sheet (SSS)	20010601

SUMMARY

1. The SSS introduces, summarizes, coordinates, or obtains approval or signature on a staff package. It should be a concise (preferably one page) summary of the package. It states the purpose, pertinent background information, rationale, and discussion necessary to justify the action desired.

2. The SSS is attached to the front of the correspondence package. If an additional page is necessary, prepare it on plain bond paper. Use the same margins you see here. Summarize complicated or lengthy correspondence or documents attached, or any tabs that are not self-explanatory. If they're self-explanatory, say so. Attach a copy (or extract of appropriate portion) of any document referenced.

3. List attachments to the SSS as tabs. List the document for action as Tab 1. List incoming memo, directive, or other paper—if any—that prompted you to prepare the SSS as Tab 2. (If you have more than one document for action, list and tab them with as many numbers as you need and then list the material you're responding to as the next number: Tabs 1, 2, and 3 for signature, Tab 4 incoming document.) List supplemental documents as additional tabs, followed by the record or coordination copy, and information copies. If nonconcurrence is involved, list it and the letter of rebuttal as the last tab.

4. VIEWS OF OTHERS. Explain concerns of others external to the staff (i.e., OSD, Army, Navy, State, etc.). For example: "OSD may disapprove of this approach."

5. OPTIONS. If there are significant alternative solutions, explain the options. For example: "Buying off-the-shelf hardware will reduce costs 25% but will meet only 80% of our requirements."

6. RECOMMENDATION. Use this caption when the SSS is routed for action. State the recommendation, including action necessary to implement it, in such a way that the official need only sign an attachment, or coordinate, approve, or disapprove the recommended action. Do not recommend alternatives or use this caption when the SSS is being submitted for information only.

James M. Collins

JAMES M. COLLINS, Lt Col, USAF
Commander, AFOMS

2 Tabs
1. Proposed Memorandum
2. HQ AETC/CC Memo, 1 Jun 01 w/Atch

AF FORM 1768. 19840901 *(EF-V5)* PREVIOUS EDITION WILL BE USED.

10.3.2.3. The SSS is divided into three main areas. The top is for coordination, the middle contains administrative information, and the remaining 75 percent contains information about the action proposal.

10.3.3. Bullet Background Paper (BBP). The BBP is a popular means of providing information on a particular topic. Figure 10.2 provides additional information on the BBP format.

10.3.4. Short-Note Reply. The short-note reply saves paper and typing. Use it to acknowledge, provide a brief routine reply, or forward correspondence. Figure 10.3 shows how to prepare a short-note reply.

10.3.5. Trip Report. A trip report describes a TDY trip to another location and includes the purpose, travelers, itinerary, discussions, and conclusions or recommendations. Figure 10.4 is an example of a typical trip report. (Most organizations have a standard template.)

10.3.6. Staff Study Report. What written staff instrument would you use to lay out a compact, yet complete, problem solution for a decision-maker? Most likely, you would use the staff study report. It represents the completion of staff work; that is, the solution is complete enough that the decision-maker has only to approve or disapprove. Advise your supervisor about what should be done—provide answers, not questions. Of course, it is okay to find out if you are on the right track at any point in the problem-solving procedure. This coordination will also save you time. There is no single formula for a staff study report, and there are probably as many different types of reports as there are situations. However, Figure 10.5 illustrates a suggested format.

10.3.6.1. Actions Before Writing the Report. Before reporting a problem and proposed solution, mentally solve it. The thought process is more important than the specific format. The steps you use before writing are the same steps you use for problem-solving.

10.3.6.2. Writing the Report. Once you have done your homework, put your findings on paper. A smart decision-maker focuses on the relevance and accuracy of the supporting material and the logic of the argument. Full coordination is key to successful staff work. Starting with your own office, coordinate with every organization impacted by your report. If you point the finger at a particular person or unit or if your solution requires a change in a particular operation, make sure you are correct. The final test is to put yourself in your supervisor's place and ask if you are willing to stake your professional reputation on this product. If not, it is time to revise the report or start it over.

10.4. Conclusion. Communication that is clear, concise, well thought out, and well composed is essential to getting things done in today's Air Force. We are all involved in speaking and writing to some extent. Therefore, we must be proficient at the methods we use. The conference is a useful forum for providing information, solving problems, answering questions, or simply facilitating agreements between affected parties. But we are more involved with *written* communication. In fact, there are countless reasons for writing. Fortunately, we have several instruments at our disposal to help us with the process. The SSS, BBP, short-note reply, trip report, and staff study report all serve a useful purpose and are tools to help us facilitate staff level communication.

Figure 10.2. The Bullet Background Paper.

BULLET BACKGROUND PAPER

ON

THE BULLET BACKGROUND PAPER

An increasingly popular version of the background paper is the "bullet" background paper. The bullet format provides a concise, chronological evolution of a problem, a complete summary of an attached staff package, or a more detailed explanation of what appears in an attached talking paper. Use the first paragraph to identify the main thrust of the paper.

Main ideas follow the intro paragraph and may be as long as several sentences or as short as one word (such as "Advantages").

- Second items follow with a single dash and tertiary items follow with multiple indented dashes. Secondary and tertiary items can be as short as a word or as long as several sentences.

- Format varies.

  -- Center title (all capital letters); use 1-inch margins all around; single-space the text; double-space between items—except double-space title and triple-space to text; use appropriate punctuation in paragraphs and complete thoughts.

  -- Headings such as SUBJECT, PROBLEM, BACKGROUND, DISCUSSION, CONCLUSION, or RECOMMENDATION are optional.

Keys to developing a good backgrounder:

- Write the paper according to the knowledge level of the user, i.e., a person who is very knowledgeable on the subject won't require as much detail as one who knows very little.

- Emphasize main points.

- Attach additional support data; refer to it in the backgrounder.

- Require minimum length to achieve brevity with short transitions.

- End with concluding remarks or recommendations.

Include an identification line (author's rank and name, organization, office symbol, phone number, typist's initials, and date) on the first page 1 inch from the bottom of the page or at least two lines below the last line of text.

SSgt Creviston/AFOMS/OMP/7-4075/kqr/10 Apr 01

Figure 10.3. The Short-Note Reply.

DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND

30 Mar 01

MEMORANDUM FOR ACSC/DEXP

FROM: AFOMS/OMP
1550 5th Street East
Randolph AFB TX 78150-4449

SUBJECT: Request for *The Tongue and Quill*

1. I work for the Air Force, slinging ink at paper, pounding a computer, giving briefings, pushing packages, and opening my mouth quite frequently in the conduct of today's mission. I need a personal copy of *The Tongue and Quill*.

2. This copy would help tremendously to improve my communications techniques and those of the people who work for me. My personal opinion is that everyone who works in the Air Force, civilian or military, should have a personal copy of *The Tongue and Quill*.

Michael L. Fisk

Michael L. Fisk, SMSgt, USAF
Superintendent, Professional Development Flight

Memorandum for AFOMS/OMP

Here's your T+O -- check out the "Mechanics of Writing" section. I couldn't agree with you more about everyone having his or her own copy!

Gwen Story

attachment:
T+Q

Figure 10.4. The Trip Report.

DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND

25 Mar 01

MEMORANDUM FOR HQ USAF/SCM
SC
IN TURN

FROM: AFOMS/OMP
1550 5th Street East
Randolph AFB TX 78150-4449

SUBJECT: The Trip Report Format

1. PURPOSE: Briefly state the reason for the trip. The report should answer the questions who, what, when, where, why, and how much and provide recommendations and conclusions. Attach meeting minutes or any other background documents that provide more detailed information, if needed. The format for the report is not particularly important. The official memorandum shown here is a good example; however, if another format better suits the need or the organization has a preferred format, use it.

2. TRAVELER(S): Include grade, first name or initial, and surname. Provide position titles if travelers are from different offices or organizations. List names of members present in two columns to save space, if necessary.

3. ITINERARY: List location(s) visited, inclusive dates, and key personnel contacted.

4. DISCUSSION: Base the amount of detailed information on the knowledge level of the intended readers. Always include the trip objective, problems encountered, findings, future commitments made, and contributions to the event.

5. CONCLUSIONS/RECOMMENDATIONS: Summarize findings and/or recommended actions.

Tamala L. Creviston
TAMALA L. CREVISTON, SSgt, USAF
AF Manager, USAFSE Study Guide

Attachment:
Minutes, 19 Mar 01

Figure 10.5. The Staff Study Report.

DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND

30 Mar 01

MEMORANDUM FOR HQ AETC/SCMY

FROM: AFOMS/OMP
1550 5th Street East
Randolph AFB TX 78150-4449

SUBJECT: Preparing a Staff Study Report

PROBLEM

1. Clearly and concisely state the problem.

FACTORS BEARING ON THE PROBLEM

2. Facts. Limit facts to only those directly relating to the problem.

3. Assumption. Should be realistic and supportive to the study.

4. Criteria. Give the standards, requirements, or limitations that will be used to test possible solutions. Ensure you can use standards to measure or test solutions.

5. Definitions. Describe or define terms that may confuse the audience.

DISCUSSION

6. This section should show the logic used in solving the problem. Introduce the problem and give some background, if necessary. Then explain the solution or possible solution.

CONCLUSION

7. State the conclusion. This should be a workable, complete solution to the problem previously described in "Discussion."

ACTION RECOMMENDED

8. Tell the reader the action necessary to implement the solution. This should be worked so the boss only needs to sign to make the solution happen.

Richard W. Powelson
RICHARD W. POWELSON, MSgt, USAF
Chief, Quality Control Flight

Attachments: (listed on next page)

DONALD L. PETERSON, Lt General, USAF
DCS/Personnel

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Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

NOTE: The publications and other documents identified in this attachment are the primary references used to develop this study guide. They are provided (by chapter) for readers desiring to conduct additional research in a specific area. If you need further assistance, contact the OPR (AFOMS/OMP) by telephone (DSN 487-4075) or e-mail (pfesg@randolph.af.mil).

Introduction

Uniform Code of Military Justice
AFI 36-2201, *Developing, Managing, and Conducting Training*
AFPAM 36-2241, Volume 1, *Promotion Fitness Examination (PFE) Study Guide*
AFI 36-2605, *Air Force Military Personnel Testing System*

Chapter 1, Air Force Doctrine

AFDD 1, *Air Force Basic Doctrine*
AFDD 2, *Organization and Employment of Aerospace Power*

Chapter 2, The Joint Force

JP 1, *Joint Warfare of the Armed Forces of the United States*
JP 1-02, *DoD Dictionary of Military and Associated Terms*
JP 3-09, *Doctrine for Joint Fire Support*
JP 3-56.1, *Command and Control for Joint Air Operations*
DoDD 5100.1, *Functions of the Department of Defense and Its Major Components,* September 25, 1987
AFPAM 36-2241, Volume 1, *Promotion Fitness Examination (PFE) Study Guide*

Chapter 3, Senior Noncommissioned Officer (SNCO) Promotion Program

AFI 36-2502, *Airman Promotion Program*
AFPAM 36-2241, Volume 1, *Promotion Fitness Examination (PFE) Study Guide*
HQ AFPC, MPFM 00-26, *Chief Master Sergeant/Senior Master Sergeant Promotion Program Fact Sheet*

Chapter 4, Leadership and Management

"Leadership and the One-Minute Manager," Kenneth Blanchard
"Military Leadership in Pursuit of Excellence," Robert Taylor and William Rosenbach
"Personal Time Management for Busy Managers," IEE Engineering Management Journal (1991 - 3), Gerard M. Blair
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"The Art of Delegation," IEE Engineering Management Journal (1991 - 3), Gerard M. Blair
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Chapter 5, Protocol for Special Events

AFI 36-2805, *Special Trophies and Awards*
AFR 900-6, *Honors and Ceremonies Accorded Distinguished Persons*

Order of the Sword Ceremony (http.//www.au.af.mil/au/cepme/heritage/sword.htm)
'Til Wheels are Up (https:www.afmc-mil.wpafb.af.mil/organizations/HQ AFMC/commandsection/cvp/wheelsup.htm)

Chapter 6, Professionalism

US Constitution
Uniform Code of Military Justice
Manual for Courts-Martial
Code of Conduct
AFI 36-2618, *The Enlisted Force Structure*
NCO Creed
AU-2, *Guidelines for Command*
"Do What is Right," Military and Societal Values: The Relevance of Knowing and Doing, Melham M. Wakin
"Foundation of the Force – Air Force Enlisted Personnel Policy," Mark R. Grandstaff
"Profession," Daedalus, E.C. Hughes, Vol 92, No 4, pp. 665-668
"Some Problems in the Sociology of the Professional," Daedalus, Bernard Barber, Vol 92, No 4, pp. 669-687
"The Profession of Arms," General Ronald R. Fogleman, Chief of Staff, USAF
"The Soldier and the State, the Theory and Politics of Civil-Military Relations," Samuel P. Huntington
Merriam-Webster's Collegiate Dictionary (http:/www.m-w.com/cgi-bin/dictionary)

Chapter 7, Legal Issues

US Constitution
Uniform Code of Military Justice
Manual for Courts-Martial
Military Justice Act of 1968
Military Justice Act of 1983
AFI 36-2503, *Administrative Demotion of Airmen*
AFI 51-201, *Administration of Military Justice*
Air Force Vision 2020
50 Golden Years Article, The Reporter, OTJAG
"The Army, The Courts, and The Constitution the Evolution of the Military Justice," by the Honorable Walter T. Cox, III, Published Military Law Review, Volume 118, 1987 and United States Code
The United States Court of Appeals for Armed Forces History Fact Sheet
Area Defense Counsel Fact Sheet
Air Force Rules of Professional Conduct
CCAF Jurisdiction Fact Sheet

Chapter 8, SNCO Resource Management

Executive Order 12902, *Energy Efficiency and Water Conservation at Federal Facilities*, March 8, 1994
OMB Circular A-76, *Performance of Commercial Activities*
AFI 23-111, *Management of Government Property in Possession of the Air Force*
AFI 24-301, *Vehicle Operations*
AFI 38-203, *Commercial Activities Program*
AFI 65-601, Volume 2, *Budget Management for Operations*
AFMAN 23-110, Volume 2, Part 13, BASIC, *Standard Base Supply Customer's Procedures*
AFMAN 23-220, *Reports of Survey for Air Force Property*
AFPAM 36-2241, Volume 1, *Promotion Fitness (PFE) Examination Study Guide*
AFPD 38-6, *Outsourcing and Privatization*
Commanders Handbook on Competitive Sourcing (from the HQ USAF/XPM Competitive Sourcing Library)
Global Engagement: A Vision for the 21st Century Air Force (1997)
Planning, Programming, and Budgeting System (PPBS) Primer

Chapter 9, Civilian Personnel Management

Executive Order 12871, *Labor Management Partnerships,* October 1, 1993
Executive Order 12974, *Continuance of Certain Federal Advisory Committees,* September 29, 1995
Executive Order 12983, *Amendment to Executive Order 12871,* December 21, 1995
Federal Employees Pay Comparability Act (FEPCA) of 1990
Federal Employees' Compensation Act (FECA)
DoD 1400.25-M, Chapter 700, Subchapter 711, *Department of Defense Civilian Personnel Manual (CPM)* (Labor-Management and Employee Relations/[Labor Management Relations]), December 1996
DoD 5500.7-R, *Joint Ethics Regulation (JER),* August 1993
AFPD 36-2, *Employment and Affirmative Action*
AFPD 36-7, *Employee and Labor-Management Relations*
AFPD 36-12, *Dispute Resolution*
AFPD 36-14, *Position Management and Classification*
AFI 36-701, *Labor Management Relations*
AFI 36-703, *Civilian Conduct and Responsibility*
AFI 36-704, *Discipline and Adverse Actions*
AFI 36-807, *Weekly and Daily Scheduling of Work and Holiday Observances*
AFI 36-810, *Substance Abuse Prevention and Control*
AFI 36-815, *Absence and Leave*
AFI 36-1001, *Managing the Civilian Performance Program*
AFI 36-1004, *Managing the Civilian Recognition Program*
AFI 36-1201, *Discrimination Complaints*
AFI 36-1203, *Administrative Grievance System*

Chapter 10, Staff-Level Communication

AFMAN 33-326, *Preparing Official Communications*
AFH 33-337, *The Tongue and Quill*
AFPAM 36-2241, Volume 1, *Promotion Fitness Examination (PFE) Study Guide*

Abbreviations and Acronyms

AADC—area air defense coordinator
ACA—airspace control authority
ACO—airspace control order
ACN—authorization change notice
ACR—authorization change request
ADC—Area Defense Council
AEP—Affirmative Employment Program
AFCCA—Air Force Court of Criminal Appeals
AFDD—Air Force doctrine document
AFEMS—Air Force Equipment Management System
AFLE—Air Force liaison element
AFSC—Air Force specialty code
AME—air mobility element
AOR—area of responsibility
APOM—amended program objective memorandum
ARC—air reserve component
ARCENT—US Army Forces Central Command
AS—allowance standards
ATO—air tasking order
AW—air warfare
AWOL—absent without leave
BBP—bullet background paper

BCE—battlefield coordination element
BCE—base civil engineer
BES—budget estimate submission
C2—command and control
CA/CRL—custodian authorization/custody receipt listing
CAAF—Court of Appeals for the Armed Forces
CAFSC—control Air Force specialty code
CAS—close air support
CC—cost centers
CCAF—Community College of the Air Force
CCDP—Civilian Competitive Development Program
CCM—command chief master sergeant
CD-ROM—compact disk-read only memory
CEM—chief enlisted manager
CENTAF—US Air Forces Central Command
CFACC—combined forces air component commander
CINC—commander in chief
CIVCOST—civilian cost analysis
CMSAF—Chief Master Sergeant of the Air Force
COG—centers of gravity
COMAFFOR—Commander, Air Force Forces
CONUS—continental United States
CPD—core personnel document
CPF—civilian personnel flight
CPG—career progression group
CS—competitive sourcing
CSAR—combat search and rescue
DCA—defensive counterair
DCI—defensive counterinformation
DCS—defensive counterspace
DOA—direct obligating authority
DoD—Department of Defense
DOR—date of rank
DPG—defense planning guidance
DRU—direct reporting unit
DV—distinguished visitor
DVR—data verification record
EAF—expeditionary aerospace force
EDS—employee development specialist
EEO—equal employment opportunity
EEOC—Equal Employment Opportunity Commissions
E-mail—electronic mail
EMSG—Energy Management Steering Group
EOC—end of course
EPME—enlisted professional military education
EPR—enlisted performance report
ETCA—Air Force education and training course announcement
FES—Factor Evaluation System
FLRA—Federal Labor Relations Authority
FOA—field operating agency
FWS—Federal Wage System
FYDP—Future Years Defense Program
GS—General Schedule
HQ AFPC—Headquarters, Air Force Personnel Center
HRB—human resource budget
HYT—high year tenure
ICBM—intercontinental ballistic missile

IDEA—innovative development through employee awareness
IFF—identification friend or foe
IMPAC—international merchant purchase authorization card
INFOSEC—information security
ISR—intelligence, surveillance, and reconnaissance
JAOC—joint air operations center
JCS—Joint Chiefs of Staff
JFACC—joint force air component commander
JFC—joint force commander
JFSOCC—joint force special operations component commander
JOA—joint operations area
JP—joint publication
JTF—joint task force
LG—logistics group
MAAP—master air attack plan
MAJCOM—major command
MARCENT—US Marine Forces Central Command
MDS—Manpower Data System
MEO—most efficient organization
MIA—missing in action
MKTS—Military Knowledge and Testing System
MO—manpower and organization
MOOTW—military operations other than war
MPF—military personnel flight
MSgt—master sergeant
NALE—naval and amphibious liaison element
NAVCENT—US Naval Forces Central Command
NCA—national command authorities
NCOA—Noncommissioned Officer Association
NFQ—not fully qualified
OCA—offensive counterair
OCI—offensive counterinformation
OCI—Office of Complaint Investigations
OCS—offensive counterspace
OJT—on-the-job training
OPCON—operational control
OPM—Office of Personnel Management
OPSEC—operations security
OSD—Office of the Secretary of Defense
PAR—personnel action request
PAS—personnel accounting symbol
PBD—program budget decisions
PCS—permanent change of station
PD—position description
PDS—Personnel Data System
PDM—program decision memorandum
PECD—promotion eligibility cutoff date
PERMISS—Personnel Management Information Support System
POC—point of contact
POM—program objective memorandum
POW—prisoner of war
PPBS—Planning, Programming, and Budgeting System
RA—resource advisor
RAP—resource allocation process
RC—responsibility centers
RIP—report on individual personnel
RM—resource managers

RMS—Resource Management System
RMT—resource management team
SAF/MIB—Air Force Deputy for Review Boards
SCPD—standard core personnel documents
SECDEF—Secretary of Defense
SEPM—special emphasis program managers
SIOP—single integrated operation plan
SLO—space liaison officer
SMSgt—senior master sergeant
SNCO—senior noncommissioned officer
SOF—special operations forces
SOLE—special operations liaison element
SPINS—special instructions
SSS—staff summary sheet
STRATLAT—strategic liaison team
SUW—surface warfare
TACON—tactical control
TAFMS—total active federal military service
TDY—temporary duty
TIG—time in grade
TIS—time in service
TJAG—The Judge Advocate General
TOA—total obligation authority
TST—theater support team
UCMJ—Uniform Code of Military Justice
ULP—unfair labor practices
UMD—unit manning document
UPMR—unit personnel management roster
UPRG—unit personnel record group
US—United States
USCENTCOM—US Central Command
USSPACECOM—US Space Command
USSTRATCOM—United States Strategic Command
USW—undersea warfare
VCO—vehicle control officer
WGI—within-grade increases
USAFSE—United States Air Force Supervisory Examination